REPORT RESUMES

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DEVELOPMENT OF FISCAL RELATIONSHIPS OF STATE DEPARTMENTS OF EDUCATION.

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AN INSTRUMENT FOR INVESTIGATING THE FISCAL RELATIONSHIPS OF STATE DEPARTMENTS OF EDUCATION WAS DEVELOPED BY THE PROJECT STAFF, REVIEWED BY AN ADVISORY COMMITTEE AND CONSULTANTS IN SCHOOL FINANCE, AND TESTED IN FIVE STATES--ALABAMA, MAINE, MINNESOTA, PENNSYLVANIA, AND WASHINGTON. THE INSTRUMENT IS IN TWO PARTS--A DATA SHEET, AND A WORK SHEET. THE DATA SHEET IS A FOUR-PART QUESTIONNAIRE COVERING THE FOLLOWING SUBJECTS--(1) CONSTITUTIONAL PROVISIONS FOR EDUCATION, (2) CONSTITUTIONAL CONTROL OF EDUCATION, (3) AUTHORITIES AND RESPONSIBILITIES OF STATE BOARDS, AND (4) INTERNAL OPERATIONS OF THE STATE DEPARTMENT OF EDUCATION. THE WORK SHEET IS A NINE-PART QUESTIONNAIRE COVERING (1) BUDGET MAKING FOR THE STATE DEPARTMENT OF EDUCATION, (2) EXPENDITURES FROM BUDGET TERMS AT STATE DEPARTMENT LEVELS, (3) ALLOCATION OF MONEYS FROM THE STATE BUDGET TO LOCAL SCHOOL DISTRICTS, (4) STATE UNIVERSITIES AND COLLEGES, (5) KINDS OF BOOKKEEPING SYSTEMS IN USE, (6) INTERSTATE CONDITIONS AFFECTING OPERATION OF THE STATE DEPARTMENT, (7) EFFECT OF TRADITION ON STATE SCHOOL FINANCE, (8) THE STATE DEPARTMENT AND HIGHER EDUCATION, AND (9) PERSONNEL PRACTICES. SEPARATE REPORTS WERE PREPARED FOR, FURNISHED TO, AND COMPLETED BY THE FIVE STATES THAT PARTICIPATED IN THIS PROJECT. (GC)

ED 002842

FINAL REPORT AND SUMMARY

The Development of Fiscal Relationships of State Departments of Education

United States Office of Education
Cooperative Research Project No. 341A

February 1958 - September 1958

Project Director: Samuel Engle Burr, Jr.
Former Chairman, Department of Education
Assistant Dean; Director of Off-Campus and In-Service Programs
The American University
Washington 16, D. C.

Principal Investigator: R. Merle Eyman
Former State Superintendent of Public Instruction, Ohio

Research Assistant: Wylie H. Russell
Associate Professor of Education
The American University
Washington 16, D. C.

Summary Revised and Mimeographed

November 1960

Washington, D. C.

U. S. DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
Office of Education
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FINAL REPORT AND SUMMARY

UNITED STATES OFFICE OF EDUCATION COOPERATIVE RESEARCH PROJECT No. 341

In Conjunction With

THE AMERICAN UNIVERSITY

Washington 16, D. C.

THE DEVELOPMENT OF FISCAL RELATIONSHIPS OF STATE DEPARTMENTS OF EDUCATION

GENERAL INFORMATION CONCERNING THIS PROJECT

1. States Included in this Study.

Five states were included in this study; Pennsylvania, Maine, Washington, Minnesota, Alabama.

2. Period of Time Covered by this Study.

This study began on February 1, 1958 and the field work was completed by September 30, 1958. The date of this final report and summary is February 28, 1959.

3. Research Personnel Involved in this Study.

Principal Investigator:

Mr. R. Merle Eyman
Former State Superintendent of Public Instruction
State Department of Education, Columbus, Ohio

(Visited the Commonwealth of Pennsylvania, and the States of Washington, Minnesota and Alabama).*

Consultants:

Dr. Edgar Morphet
Professor of Education
University of California, Berkeley, California

(Visited the State of Washington).

Dr. Paul Johnston
Assistant State Superintendent for Administration
State Department of Public Instruction, Des Moines, Iowa

(Visited the State of Alabama).

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* In portions of the remainder of this report, the Commonwealth of Pennsylvania may be called a State.

Dr. H. Thomas James
Associate Professor of Education
Leland Stanford Jr. University, Stanford, California

(Visited the State of Minnesota).

Dr. Frank B. Stover
Assistant State Commissioner of Education
State Department of Education, Trenton, New Jersey

(Visited the Commonwealth of Pennsylvania).

Dr. Samuel Engle Burr, Jr.*
Chairman, Department of Education
The American University, Washington 16, D. C.

(Project Director: Visited the Commonwealth of Pennsylvania and the States of Maine, Minnesota, and Alabama).

Dr. Wylie H. Russell
Associate Professor of Education
The American University, Washington 16, D. C.

(Research Assistant for the Project: Visited the Commonwealth of Pennsylvania and the State of Maine).

4. Advisory Committee for this Study.

Dr. Dean M. Schweickhard (Chairman)
Commissioner of Education, Minnesota

Hon. Frank Bane
Former Executive Director
Council of State Governments, Chicago

Dr. Thomas G. Pullen, Jr.
State Superintendent of Public Instruction, Maryland

Dr. Sam M. Lambert
Director of Research
The National Education Association, Washington 6, D. C.

Dr. Samuel Engle Burr, Jr. (Secretary)
Chairman, Department of Education
The American University, Washington 16, D. C.

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* On July 1, 1960, Dr. Burr became Assistant Dean, Division of General and Special Studies, and Director of Off-Campus and In-Service Programs at The American University

5. Advice from Others

Others who were consulted and who gave advice and assistance were members of the Department of Education at The American University as follows:

Dr. John W. Devor*
Professor of Education

Dr. Robert N. Walker
Adjunct Professor of Education

Dr. B. Willard DeShazo
Adjunct Professor of Education

Very valuable suggestions have been made by Dr. Edgar Fuller, Executive Secretary, Council of Chief State School Officers, 1201 16th Street, N. W., Washington 6, D. C.

6. The Instrument of Investigation.

The chief objects of this project were to devise an Instrument of Investigation and to try it out in several states. These things have been done. The Instrument is in two parts: I, A Data Sheet, and II, A Work Sheet. Samples of these are attached as Appendices. The States in which the Instrument has been used are: Pennsylvania, Maine, Washington, Minnesota and Alabama. Separate reports have been prepared for these five states and copies are available for reference purposes in the office of the Project Director. There has been some distribution of these five state reports.

7. Application of the Instrument in Five States.

Some of the results of applying the Instrument in these five states appear in the following resume:

(See next page)

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* Dr. Devor became Chairman of the Division of Education at The American University on September 1, 1960.

PROVISIONS FOR CHIEF STATE SCHOOL OFFICER

State	Title Used	Provisions for Position	Length of Term
Pennsylvania	Superintendent of Public Instruction	Appointed by the Governor and approved by a two thirds majority of the Senate	Four Years
Maine	Commissioner of Education	Appointed by the State Board of Education	No set time limit identified
Washington	Superintendent of Public Instruction	Elected on a non-partisan ballot	Four years, may succeed himself
Minnesota	Commissioner of Education	Appointed by the State Board of Education	Six years
Alabama	Superintendent of Education	Elected on a non-partisan ballot	Four years, may not succeed himself

No general statement can be developed concerning this position due to the small number of states involved in the pilot project. Some generalizations may be made if no statistical inference is implied in an interpretation of the statements. In only one instance is there an indication of a real limit on the length of service of the Chief State School Officer. This occurs in the state of Alabama. It would appear that when the Chief State School Officer is not appointed, he will likely be elected on a non-partisan basis. The position for this pilot group is more often that of Superintendent than of Commissioner. In only one instance is the Chief State School Officer an appointee of the Governor of the State.

PROVISIONS FOR A STATE BOARD OF EDUCATION

State	Title Used	Number of Members	Length of Term	Method of Gaining Membership
Pennsylvania	State Council of Education	Nine	Six years	Appointed by the Governor. State Superintendent of Public Instruction is a member of the Council.
Maine	State Board of Education	Ten	Five years	Appointed by the Governor. Superintendent is an executive officer of the Board.
Washington	State Board of Education	Fourteen	Six years	Elected by the School Directors. Created legislatively.
Minnesota	State Board of Education	Seven	Five years	Appointed by the Governor.
Alabama	State Board of Education	Nine	Six years	Appointed by the Governor. The Governor is president. The State Superintendent is secretary and executive officer.

For the states in this pilot project there is no general agreement as to the number of members of a state board of education. The number ranges from seven in Minnesota to 14 in Washington. There is some general agreement on the method of gaining membership in such a board, since four of the five states have boards whose members are appointed by the Governor. In only one instance is the Governor a member of the board, and in this instance (Alabama) the Governor is president of the board. With the exception of the state of Pennsylvania the title used for this official board is the State Board of Education. It appears, at least for this group of states, that the most likely term of office will be either five or six years. With the exception of the state of Washington, this board is created constitutionally.

DETAILED REPORT ON

DEPARTMENT OF PUBLIC INSTRUCTION

COMMONWEALTH OF PENNSYLVANIA

I. Date of Visit: April 27 - May 2, 1958

II. Research Team for This Visit:

Mr. R. Merle Eyman
Former State Superintendent of Public Instruction, Ohio (5 days)

Dr. Frank B. Stover
Assistant State Commissioner of Education, New Jersey (2 days)

Mr. Wylie H. Russell
Assistant Professor of Education, The American University (3 days)

Dr. Samuel Engle Burr, Jr.
Chairman, Department of Education, The American University (2 days)

III. Persons Interviewed during this Visit:

Dr. Charles H. Boehm, Superintendent of Public Instruction
Dr. Carl D. Morneweck, Director, Bureau of Research
Mr. J. Mahon Bonebrake, Specialist, Bureau of Research
Dr. Carl E. Seifert, Deputy Superintendent for Teacher and Higher Education, and Secretary of the State Council of Education
Dr. Ralph C. Swan, Deputy Superintendent for School Administrative Services
Mr. John Hertz, Director, School Business Services
Mr. Robert C. Wilson, Division of Child Accounting
Dr. Harold F. Alderfer, First Deputy Superintendent for Administratio
Mr. Donald Moore, Director of Division of Procurement and Supply for State of Pennsylvania, and formerly Department Superintendent for Administration when 1957-59 biennial budget was prepared for Department of Public Instruction and submitted to the General Assembly
Mr. Robert N. Hendershot, Director of Personnel
Dr. C. Herman Grosse, Deputy Superintendent for Instruction and Special Services for Pupils
Dr. William E. Cobb, Coordinator, Bureau of Research
Dr. Herbert E. Bryan, Executive Assistant to State Superintendent
Mr. P. O. Van Ness, Executive Secretary of Pennsylvania School Directors Association
Mr. Harvey E. Gayman, Executive Secretary, Pennsylvania State Education Association

IV. General Provisions for Education:

Education is a function of the state. It is not granted to the federal government by the U. S. Constitution and it is recognized as an area of state authority and responsibility by the constitution of the Commonwealth.

A complex framework of state laws and regulations affecting education as a state function has developed. This framework includes patterns for financing the educational program.

Within this framework of laws and regulations, the agency which has been established on the state level to perform educational functions is the State Department of Public Instruction. The Department includes the State Superintendent of Public Instruction, the State Council of Education and the staff of the Department. The headquarters of the Department is located in a state office building near the Capitol Building in Harrisburg.

The Constitution of 1873 provided the first practical indication of concern by the state legislature for public education in the Commonwealth of Pennsylvania. The provisions of the constitution stipulated that every child above six years of age may be educated, and that not less than $1,000,000.00 per year should be appropriated for this purpose. This applied to public education. Funds raised for the support of public schools may not, in the Commonwealth, be direct for use by sectarian schools.

V. Superintendent of Public Instruction:

The Superintendent of Public Instruction in the Commonwealth of Pennsylvania is a constitutional officer of the state. He is a member of the Executive Department of the state government.

The Superintendent of Public Instruction is appointed by the Governor. The appointment is for a term of four years, and is subject to the approval of the state senate by a two-thirds majority. There is no legal limit to the number of terms that an individual may serve in this office.

Many responsibilities are placed upon the State Superintendent of Public Instruction. These include such matters as the certification of teachers, curriculum development, school district organization, teacher training, library services, school building construction, fiscal management, and others.

One of these various responsibilities of the State Superintendent of Public Instruction is the supervision of the audits of local school funds. As these involve considerable sums of money, this is a very important function.

VI. State Council of Education

The State Council of Education consists of the State Superintendent of Public Instruction and nine other members. The Governor appoints the nine members, each of whom is appointed for a term of six years.

The Council has both administrative and policy-making responsibilities, and among these are:

1. To recommend needed new legislation regarding public education.

2. To equalize educational advantages throughout the Commonwealth.

3. To inspect and require reports concerning the educational work of the schools.

4. To promote agriculture, manual training, domestic science, and other vocational education.

5. To prescribe rules and regulations concerning equipment and inspection of school buildings.

6. To make recommendations pertaining to school of design, industrial arts, or others to which appropriations are made by the General Assembly.

7. To establish standards for the professional education of teachers.

8. To investigate institutions of higher education for credentials, etc., and to publish a registry of approved institutions.

9. To determine titles to be used by registrants in the practice of the art of teaching.

10. To investigate violations of regulations concerning teacher certification.

11. To suspend teacher certificates for certain specific violations.

12. To submit biennally an estimate of financial requirements of the Department of Public Instruction (a biennial budget).

VII. Areas of Conflict of Authority

Like that of the Superintendent of Public Instruction, the term of office of the Governor of the Commonwealth also is for a term of four years, but the Governor cannot succeed himself in office. The time of appointment of the State Superintendent is, therefore, extremely important. The situation is further complicated by the fact that the members of the Council of Education (other than the State Superintendent) may be removed from office by the Governor before the end of their six year terms. Consequently there is the chance that the entire membership in the Council may change every four years, or even more often. These facts can operate in such a manner as to provide a certain degree of uncertainty or lack of stability which militates against a sound and solid foundation for the state's educational program.

In a situation where two authorities or responsibilities are created by legal process, it would seem that the laws should make a reasonable basis for distinction between them. Yet, in the Commonwealth of Pennsylvania, the laws do not provide a real or definite division of authority and responsibility between the State Superintendent of Public Instruction and the State Council of Education. If a division exists, it is not a clear one, in the laws (the school code). Neither did it develop in discussions with personnel of the State Department staff.

The State Superintendent of Public Instruction serves ex-officio as the President and Chief Executive Officer of the Council. The Deputy Superintendent for Teacher Education and Higher Education services as the Secretary of the Council. Recently, an Assistant Secretary has been appointed. He is also a member of the professional staff of the State Department of Public Instruction. These various relationships are such that conflicts of authority can arise. Such conflicts could be in the area of fiscal relationships, budgetary controls, expenditure of funds, financial audits, etc.

VIII. Reorganization of the Department

The present State Superintendent of Public Instruction was appointed by the Governor and confirmed by the State Senate in 1956. One of the important matters which he has considered since that time has been a reorganization of the Department.

Of course, any reorganization should be justified in terms of work assigned and results expected. Since the various members of the professional staff have not been in full agreement as to the anticipated results, a precise delineation of specific charges is difficult.

A general rather than a specific statement can be made, to the effect that any acceptable plan for reorganization would provide for certain expansions and extensions of various State Department services. Examples of these expansions and extensions are as follows: the formation of certain new bureaus within the Department, the enlargement of some already existing bureaus, additional secretarial and clerical help, provision for certain professional personnel to maintain liaison between the State Department and the county school districts (local districts).

IX. Bureau Organization.

The Departmental Bureaus now functioning (May 1958) are as follows:

1. Bureau of School Business Services

2. Bureau of School Buildings
3. Bureau of School District Organization
4. Bureau of Professional Licensing
5. Bureau of Curriculum Development
6. Bureau of Curriculum Administration
7. Bureau of Curriculum Services
8. Bureau of Special Services for Children
9. Bureau of Teacher Education
10. Bureau of Higher Education (Arts and Science Instruction)
11. Bureau of Private Schools and Veterans Education
12. Licensing Board

There also are organized groups, within the Department, dealing with

13. Research
14. Fiscal Management and Office Services
15. Public Information and Publications
16. Procurement and Supply
17. Management Methods
18. Personnel
19. State Library
20. The Public School Employees Retirement Fund

X. New Bureaus or Similar Organizations.

Two organization charts of the Department of Public Instruction were applied to the survey workers. One was dated 8/15/56. The other was a chart of current organization (May, 1958). A comparison of these two charts indicates that a number of changes have been effective.

On the 1956 chart, Instuction and Special Pupil Services were shown as two separate Divisions. On the 1958 chart, they were combined under one administrative head.

On the 1956 chart, there was a Bureau of Field Supervisory Services. This title does not appear on the current chart.

On the 1956 chart, "Licensing Boards" were attached to the Bureau of Professional Licensing. On the current chart, the Licensing Boards were raised to a status like that of the Bureaus.

It appears, however, that the current chart does not actually show any Bureau that did not exist in some form, in 1956. It is assumed that some reassignment of functions among the various Bureaus has taken place and that some new "Divisions" within Bureaus have been created. If entirely new Bureaus were contemplated, they have not been established, because of budgetary limitations.

Some additional secretarial and/or clerical help was provided, after 1956, but help of this sort was one of the first things to be reduced or eliminated when funds were not made available as had been anticipated.

XI. Budget Request for Biennium.

The budget request for the operation of the Department for the biennium 1957-1959 was 61% more than had been appropriated for the biennium 1955-1957.

This increase was justified on grounds which included the following:

1. The expansion of subsidies or grants to local school districts.
2. The need for additional funds to operate the state program for the construction of local school buildings.
3. The need for more money in the program of higher education, which is assisted by state funds.
4. The general increase in school population in the Commonwealth, making more work to be done on all educational levels.
5. The need for some reorganization and expansion in the State Department itself. This would include the creation of a number of new positions, on the state level.

6. The need for more secretairial, clerical, and other help, on the state level.

While there had developed some general understanding within the Department (on the part of Departmental personnel) that more money would be needed, it is not apparent that the needs were understood specifically or in detail. It appears that plans for needed growth and expansion could not be made far enough in advance to have them serve as justification for a large budgetary increase. This applies not only to the understandings on the part of the Departmental personnel but also to understandings which might have been developed (if more time had been available) by such important organizations as the Pennsylvania State School Administrators Association, the Pennsylvania State School Directors Association, and the Pennsylvania Congress of Parents and Teachers.

The budget request for the new biennium, compared with previous appropriations, appears below:

APPROPRIATIONS TO DEPARTMENT OF PUBLIC INSTRUCTION FOR BIENNIUMS 1953-55, 1955-5
AND BUDGET REQUEST FOR BIENNIUM 1957-59

BIENNIUM	1953-55	1955-57	1957-59
Executive	$525,270.	$595,588.	$1,038,385.
School Administration	477,880.	542,873.	601,245.
General Education	366,182.	310,784.	1,001,868.
Teacher Certification and Higher Education	166,813.	190,755.	369,144.
TOTAL	$1,436,145.	$1,640,000.	$3,010,642.

In many states there is either an influential organization or an individual official who wields a powerful hand in budgetary matters. In Pennsylvania, it is the Executive Board, which is made up of from six to thirty selected members of the Governor's Cabinet. This Executive Board employs a Secretary of the Budget and a Comptroller, who scrutinize the budget requests of the several departments of the state government closely and make adjustments in them, presumably in accordance with the recommendations of the Governor. These revised budget requests then constitute the Governor's recommended budget.

The budget request for 1957-1959 for the operation of the Department of Public Instruction was cut 10% by this Executive Board and the Budget Secretary, even though the budget requests for Institutions of Higher Education, State Teachers Colleges, Libraries, Professional Boards and Commissions, Public School Employees Reitrement Board, and Special Education were not so reduced. However, the budget for the internal operation of the Department of Public Instruction received a much more drastic cut by the Finance Committees of the General Assembly. Reports indicate that the appropriations were first reduced to the amoung appropriated for the preceding biennium, namely $1,640,000. Later, however, it appears that $200,000 was added, making the appropriation for the biennium 1957-59 $1,840,000 as compared with the Department's request of $3,010,642, or a reduction of 38.8% from the request.

The present Governor and a majority of the members of the General Assembly at the time of this appointment were members of different political parties. It is quite possible that this difference in party politics was one of the contributing causes to the reduction in the proposed budget for 1957-59.

Political considerations were not the only cuase for the cut in the request for funds, however.

It has been indicated above that there may not have been sufficient time, after the 1956 changes in personnel, for preparation of an adequate foundation of information to make the desired increase in funds understood.

It also has been indicated that some of the professional employees themselves could not adequately explain the reasons for the desired increase in funds requested.

The action of the State Legislature was definite, however. It cut the Department's budgetary request by 38.8%. Even though the amount granted exceeded the previous biennial grant by $200,000, it left the Department in a very difficult position.

XII. Provisions for School Construction:

The Commonwealth of Pennsylvania provides an interesting device for the consturction of new school buildings. This device consists of the establishment of separate school construction authorities which finance and erect new school buildings and rent or lease these to local districts or to groups of local districts, organized as regional or consolidated school organizations. More than one billion dollars has been spent for the construction of new school buildings in the Commonwealth of Pennsylvania since this program was inaugurated about seven years ago. The members of the Project Staff found that the program had been well received, and little adverse criticism of it was indicated. It was claimed that this system has several advantages over more traditional ways of financing school buildings, but specific advantages were not supplied. However, along with this new development, a small number of new school buildings and additions to existing buildings have been consturcted by the traditional method of general obligation bond financing.

XIII. Regulations Governing Printing, Travel, Supplies, and Equipment.

All printing is done under contract through bids and subject to the approval of the Governor, the Auditor General, and the State Treasurer. The Department of Property and Supplies is the agency which is authorized by law to arrange these contracts. The Superintendent of Public Instruction establishes regulations governing travel allowances for employees of the Department. The Governor's Executive Board also prescribes some general regulations governing travel allowances for all State Employees. All out-of-state travel is subject to the Governor's approval.

The Department of Property and Supplies is also designated by law as the agency in charge of the purchase of all supplies and equipment.

XIV. Operation of Department

Within the Department of Public Instruction, certain matters developed in anticipation of an expected increase in funds for the Department. The salaries of some employees were increased, apparently on the basis of added pay for added years of experience. These increases amounted to approximately $100,000 per year. Some additional people were employed, part of them from Pennsylvania school systems and part of them from other states, but all with good training and experience. Additional secretarial and clerical workers were employed. Some other new expenses were incurred. All of this added expense was in response to actual needs and in anticipation of a more or less general reorganization of the Department along functional lines.

Then, the anticipated increase in the grant of funds failed to materialize. The cut of 10% in the Department's financial requests (recommended by the Executive Board and Budget Secretary) could have been handled satisfactorily. But the cut of 38.0% made by the Legislature was a severe cut, and drastic action was necessary in order to cope with it.

The Department now was operating with a financial deficit, and this unhappy condition continued for a period of eleven months. The situation became so critical that the person who had served as Budget Officer in the Department resigned from his position and accepted the position of Director of Purchasing, Procurement, and Supplies for the Commonwealth of Pennsylvania, with offices in the Capitol Building. A First Deputy Superintendent for Administration was then appointed, with specific instructions to cause the Department to operate within the limitations of the approved budget. It was stated that by the last of May 1958, the Department would be operating within these budgetary limitations. To do this, it became necessary to decrease the number of employees, which was accomplished by the following means:

1. Declining to fill vacancies when they occurred.
2. Encouraging those eligible to retire to do so.
3. Abolishing certain positions.
4. Assisting in the transfer of certain employees to other governmental positions.

The staff of the Department of Public Instruction has been thus reduced by about forty (40) persons during the past several months, leaving the number about the same as during the preceding biennium.

XV. The Office of Special School Audits

The General Assembly of the Commonwealth provided for the establishment of "The Office of Special School Audits" and an appropriation of $200,000 was made to that office for auditing the records and reports of the local school districts, upon which the State subsidies are based. A former Deputy Superintendent of Public Instruction was transferred to this office, and eighteen positions were created to make the work possible. Only a part of these vacancies have been filled.

The new Administrator in charge of this office was given power which amounted almost to financial control. In a sense, this control exceeded the authority of the State Superintendent himself. From the standpoint of good administrative practice, this situation is not desirable, even though it may have been effective in accomplishing the desired result in this specific case.

XVI. Coordination With Other Departments

It is reasonably apparent that there has been some lack of practical effectiveness in communicating between the State Department of Public Instruction, the State Legislature, and other Departments of the state government. This appears to be particularly true concerning the proposed or requested budget of the State Department of Public Instruction for the 1957-59 biennium.

The Department of Public Instruction felt that cuts in the budget proposal would seriously hamper efforts to improve service to the [illegible] (or local) school units. Expanded services had been planned in such fields as the selection of new sites for schools, details of school house planning and construction, curriculum revision, guidance services, pupil transportation, the in-service training of teachers, and other important areas.

Other departments evidently knew that an increased appropriation for education was being requested, but apparently they did not appreciate the very real and pressing needs which motivated the request. As a consequence, it appears that the Chief Officers of other Departments did not support the request for added funds for education. An imperfect pattern of interdepartmental communication - added to political factors - may help to account for the failure to secure the budget requested by the Department of Education or even the request less 10% recommended by the Executive Board.

XVII. Definition of Authority

There are indications that no clearly understood boundaries exist between the rights, powers, and duties of the State Council of Education on the one hand, and those of the State Superintendent of Public Instruction on the other. This applies to fiscal matters as well as to other phases of the educational program. It is suggested that such boundaries be established so that fiscal authority and responsibility may be precisely delegated. Both the Council and the Superintendent should be able to act within certain fiscal areas without the constant possibility of conflicts in authority and responsibilit

XVIII. Responsibilities Within the Department

Within the State Department of Public Instruction itself, there seems to be uncertainties of imperfectly defined boundaries between and among divisions. Some overlapping of functions is inevitable and in some areas may even be desirable, but lack of clear organization now encourages excessive duplication. Examples are the conflicts in auditing the expenditures of the Department of Public Instruction, administering State aid to local districts, and in curriculum development and revision. There also appear to be duplications of effort or unnecessary red tape within the Department itself. Some one said: "It takes 50 separate operations for a person to get a bottle of ink."

At present, it appears that very serious efforts are being made by the Department's personnel to perform much of the work that is needed, with a somewhat reduced staff, within the severe financial limitations that have been imposed. But all of the work cannot be done adequately under the present budget. The cost of the financial saving has been high in terms of educational services to the state and in terms of morale within the Department.

XII. The Work and Its Cost

The population of the Commonwealth is growing, year by year. The number of children has increased more rapidly than experts had anticipated. There is some shortage of classrooms, other facilities, and adequately prepared teachers. Consequently, expansion is needed in:

1. School building construction
2. The Training Facilities for Teachers
3. The Quantity of Books and other Insturctional Supplies
4. Consideration of requests for Teacher Certification (both regular certification and emergency or temporary certification)

The times in which we live are changing rapidly. The age of atomic power, rocket propulsion, I C B M's, Sputniks, and other artificial satellites, and space travel has arrived. These and other developments require curriculum adjustments in our school programs. These include the use of new materials and new methods. Education TV (either Closed Circuit or Broadcast) requires attention.

More people live to an advanced age and retire from their jobs. The number of such people, who still are active, increases every year. Programs of adult education must be established for them and for others in the Commonwealth.

The importance of the State in matters of education is increasing, also. Local units still are important but the trend toward growth of state level activities in education is clear.

There are demands for longer school days, longer school years, more classes in mathematics, science, and foreign languages, other curricular changes, increased and improved guidance services, etc.

Today, it is expected that a State Department of Education will provide leadership, on a high professional plane, for the entire program of education within the state. The era when the State Department merely administered some of the laws and regulations has passed. Not only should the Department provide leadership, it also should provide consultant services for the local units and for other groups.

Americans have accepted the proposition that no child should suffer an educational penalty just because he lives in a relatively poor district. Consequently, it is the State Department that provides ways and means for the equalization of educational opportunity from one local district to another. Foundation programs must be guaranteed by the State Department.

These are some of the bases upon which requests for increased grants are based. They are unmistakable and they are urgent.

Consequently, the request for about $3,000,000 in the biennial budget for the Department of Education in Pennsylvania does not appear to have been wither unusual or unjustified. When much less was granted by the State Legislature, the Department faced a very serious serious situation. The problems and difficulties which arose afterward can be traced directly to the reduced amount within which the Department was forced to work.

XX. Personnel for the Department

While the population of the Commonwealth is increasing, and the demands for educational service are growing, and while both of these conditions require increases in the number of persons employed in the State Department of Public Instruction, the Department has been required to reduce the number of its employees. Apparently those who were responsible for cutting the budget request made no claim that there was less work to be done or that the current employees were inefficient, or that any of the work done by the Department was unnecessary. In order to adjust to the cuts, the work load of the Departmental employees has increased, and plans to enlarge certain services or to add new services have been held in abeyance.

The uncertainties faced by Departmental personnel result in more or less frustration combined with some degree of insecurity. These conditions adversely affect their own assessment of their work and their ability to perform as professional educators. As one result, other people do not comprehend or understand the Department of Public Instruction or its function as well as they should.

To a large extent, the difficulties which the Department has been experiencing have come from the financial limitations which have been imposed upon it. The magnitude of the job to be done is large and is growing - this should be realized by those who grant funds. In addition to the lack of adequate funds, there is the further difficulty caused by the elaborate budgetary controls which have been set up and under which the Department must operate. Not only is there a crying need for more money, there is a corresponding need for a greater amount of freedom for the Department in the area of budgetary procedure, expenditures, and audits. Both of these needs should receive attention if the Department is expected to make significant improvements in the work that it is expected to perform. There also should be a review of the Department's dependence upon decisions from other agencies regarding out-of-state travel for its personnel and regarding the purchase of supplies and the negotiating of certain contracts.

THE DEVELOPMENT OF FISCAL RELATIONSHIPS OF STATE DEPARTMENTS OF EDUCATION

Report of Visitation to the State of Alabama

I. Date of Visit: Thursday, September 4, 1958 to Wednesday, September 10, 195

II. Research Team for This Visit:

Mr. R. Merle Eyman
Former State Superintendent of Public Instruction, Ohio

Dr. Paul Johnston
Assistant Superintendent of Administration, Iowa

Dr. Samuel Engle Burr, Jr.
Chairman, Department of Education, The American University

III. Persons Interviewed during this Visit:

Dr. A. R. Meadows, State Superintendent of Education
Dr. N. F. Greenhill, Director, Division of Administration and Finance
Dr. D. P. Culp, President, Livingston State College and
    Chairman of the Alabama Education Commission
Dr. C. P. Nelson, Executive Secretary, Alabama Education Association
Miss Juliet Marcus, Secretary, Division of Administration and Finance
Mr. Roy T. Alverson, Supervisor of Local Accounting and School Lunch
    and Milk Program
Mr. M. H. Killingsworth, Business Manager, Division of Administration
    and Finance
Dr. W. Morrison McCall, Director, Division of Elementary Education
Dr. J. C. Blair, Director, Division of Secondary Education
Dr. R. E. Cammack, Director, Division of Vocational Education
Mr. O. F. Wise, Director, Division of Vocational Rehabilitation
    and Crippled Children
Mr. J. V. Jordan, Budget Officer for State
Mr. Frank N. Philpot, Consultant, Division of Secondary Education

IV. General Provisions for Education

The Public Educational System in the State of Alabama is composed of a number of major divisions. The State Department of Education with its general supervision of the elementary, secondary, and special education in the public schools of the state and its responsibility for the distribution of school aids is a key unit.

The second division is the local common school system which consists of 67 county and 44 city school districts which operate under the administration of 67 county and 44 city boards of education.

A third division is made up of the University of Alabama, The Alabama Polytechnic Institute and the Alabama State College, each of which operates under a separate board of trustees.

Six Trade Schools make up the fourth division. These are the Alabama School of Trades, the George C. Wallace Vocational Trade School, the Shelton Vocational Trade School, The Mobile Vocational Trade School, the Tennessee Valley Vocational Trade School, and the Wenonah Vocational Trade School. These schools operate under the administration of the State Board of Education with the exception of the Alabama School of Trades located at Gadsden which operates under a board of 5 trustees appointed by the State Board of Education.

The fifth division consists of two special schools known as the Alabama Deaf and Blind Institute located at Talladega and the Alabama Vocational School for Girls located at Birmingham. These schools operate under the administration of separate boards appointed by the governor.

The sixth division might be considered as the State Correctional Schools. They are the Alabama Boys Industrial School located at Birmingham, the State Training School for girls also located at Birmingham, and the Alabama Industrial for Negro Children located at Mt. Meigs. These schools operate under the administration of separate boards appointed by the governor, plus certain state officials who are members by virtue of the state office which they hold.

The six State Colleges might be considered as the seventh division. These colleges operate under the administration of the State Board of Education.

In addition to these seven major divisions, appropriations are also made to the following private institutions: Alabama Education T. V. Commission; Southern Industrial Institute; Thorsby Institute; Tuskegee Institute and the Walker County Junior College.

V. Superintendent of Education

The Chief State School Officer in Alabama is the State Superintendent of Education. He is nominated on a partisan ballot and is elected by popular vote for a 4 year term and he cannot succeed himself. The salary is fixed by the legislature and is now $10,000 per year. The State Superintendent of Education administers the Department of Education in conformity with the laws of the state and the policies established by the State Board of Education. His office is a constitutionally provided office (Art. 14, Sec. 262).

VI. State Board of Education

The State Board of Education is composed of the governor, the state superintendent of education, and one member from each congressional district (9) to be appointed by the governor and confirmed by the senate for terms of six years, beginning on the first day of October next succeeding their appointment. The governor is the president of the board, the superintendent of education is the secretary and the executive officer of the board. The appointed members of the board are to be appointed solely for their character and fitness but no person shall be appointed to the board who is in any way subject to its authority. The governor may remove any appointive member of the board for immorality, misconduct in office, incompetency or willful neglect of duty after proper notice and hearing on charges. Vacancies on the board shall be filled by appointments by the governor for the unexpired term.

The State Board is required to hold a regular annual meeting at the office of the Department of Education on a date to be set by the governor at which meeting one of its members is elected vice president. Such other meetings may be held as the duties of the board and the needs of the schools may require. The members of the board receive a per diem compensation of $10.00 for each day of actual service for a total of not more than twenty-five days in any fiscal year and their actual traveling and other necessary expenses incurred in attending meetings and transacting the business of the board. This system has prevailed since 1919. Since that time 55 different people have served on the State Board of Education for periods of time ranging from less than 1 year in three cases to 21 years in one case, 16 in another and 14 in another. Due to resignations and vacancies from other causes, the present governor has appointed 7 of the 9 members of the presently constitued board. The terms of three members will expire in Octor, 1959, four in 1961, and two in 1963. Consequently the next governor who takes office in January, 1959 will also have the privilege of appointing at least 7 of the 9 members (those whose terms expire in 1959 and 1961). The governor in Alabama is elected for a 4 year term and cannot succeed himself in office. It might be a better procedure if these appointed members were appointed for 9 year terms with one expiring each year. Under such procedure no governor would appoint more than 4 members, exclusive of irregular vacancies, during his term of office. It must be mentioned however, that the research team encountered no complaints or dissatisfaction with any appointments which had been made. There was evidence that the board had not exercised much leadership, but has been content to handle routine matters in a somewhat traditional manner. The board has held only 4 to 6 meetings per year for specific purposes and consequently many people, including members of the staff in the Department of Education, were not aware of the meetings which were held.

VII. State Department of Education

The State Department of Education consists of the State Board of Education, the Superintendent of Education, the professional and clerical staff chosen to assist the Superintendent of Education and the State Board in the duties and responsibilities assigned to them by law. It is organized primarily for the purpose of rendering needed services to the public schools.

The responsibilities of the Department have increased as the services of public education have been expanded. The present appropriation for its maintenance is inadequate to provide for all the services which county and city boards of education have a right to expect from the state. The personnel of the department appeared to be very highly qualified for the positions which they hold and gave the impression of being very efficient in their jobs. Records indicate that the professional staff is exceptionally well trained.

The Department is organized into six divisions as follows: (1) The Executive Division; (2) the Division of Administration and Finance; (3) the Division of Elementary Education, Teacher Education and Certification; (4) the Division of Secondary Education; (5) the Division of Vocational Education; and, (6) the Division of Vocational Rehabilitation and Crippled Children's Services.

A. The Executive Division is responsible for the following services: (1) state-owned text books, including their adoption and distribution; (2) administration and supervision of classes for handicapped children; and (3) public relations. The Executive Division makes a continuous effort to keep the people of the state informed as to the policies and procedures followed in the administration and supervision of the public school program.

B. The Division of Administration and Finance is responsible for the calculation, apportionment, and distribution of school funds. This involves studying the needs of the schools and making recommendations to the State Board of Education and the Legislature concerning them. It involves, also, analysis and checking reports - budget, financial statement, transportation report, school plant inventory, sick-leave reports, and others - on which distribution of state school funds is based.

The Division assists boards of education in marketing Alabama school securities by checking present and proposed indebtedness for each board and recommending for the state superintendent's approval only those securities which are fully secured by the tax being pledged.

It promotes the erection, maintenance, and proper use of school buildings for all public schools in the state. It furnishes advisory service on planning the school plant and use of materials which can be economically maintained.

On request by local boards, it surveys the respective school systems. Such surveys involve recommending school centers, size of schools, number of classrooms, classroom equipment, buildings to be retained, bus routes, and a financial plan to carry out such recommendations.

It promotes safely and economy in transportation through advisory service, maintenance programs for school buses, purchase of buses through the State Finance Department, and driver-training courses.

It maintains bookkeeping records for distribution of public school funds, both state and federal; aids boards in accounting for local funds handled in individual schools, such as athletics, lunchrooms, etc.; aids boards in administering, organizing, and financing of the National School Lunch Act, and distributes surplus commodities made available by the U. S. Department of Agriculture.

C. Under leadership of the director, the professional staff of the Division of Elementary Education, Teacher Education and Certification assists superintendents, supervisors, principals, and teachers in planning effective types of organization and activities for the improvement of instruction. Services of the Division to local school systems and individual schools are primarily advisory and consultative rather than administrative and directive. The development of instructional leadership for local schools is of primary concern.

The Division offers assistance to local school systems in general instruction; health, physical education, and recreation; music; acquisition, care, and use of books and other instructional materials.

The elementary school program emphasizes mastery of the three R's. It seeks to help every child develop a sound body, a vigorous mind, and a stable personality. It attempts to cultivate habits of study and work. It tries to help each child to express himself clearly and intelligently through spoken and written language.

At the present time this division is also responsible for supervising the teacher education program including approval of teacher curricula for all colleges in the state engaged in teacher education. It also is responsible for supervising teacher certification, including the issuance of new certificates and the renewal of old certificates. Annually the Division keeps in force the certification of over 30,000 teachers.

D. The most important function of the Division of Secondary Education is improvement of instruction, accomplished by working with both pre-service and in-service programs. The Division aids administrators and faculties to construct curriculum programs to meet the needs of individual schools and communities. It helps schools to meet standards for accreditation of high schools, to improve instruction in subject matter fields, with emphasis on the basic skills, communication skills (reading, writing, speaking, listening), and special interests, such as art, music, and guidance.

The Division aids schools to develop guidance programs to meet the needs of individual boys and girls. It helps to plan and conduct self-evaluations now in progress by the Southern Association of Colleges and Secondary Schools.

In the pre-service training of teachers, the Division works with teacher-training institutions on special problems, developing policies, and effecting sound practices and organization.

There are now 103 (white) and 30 (colored) public secondary schools in the state accredited by both the State Board of Education and the Southern Association.

E. The Division of Vocational Education administers and supervises the program in Vocational Agriculture, Vocational Home Economics and Trades and Industrial Education. There are Departments of Vocational Agriculture in over 300 high schools in the state. The Future Farmers of America provide training and leadership for farm boys studying Vocational Agriculture. The institutional on-the-farm training program for Veterans is helping them become established in farming. The program of Vocational Home Economics is giving service to an increasing number of high school girls and adult home makers each year. The organizations of Future Home Makers of America and New Home Makers of America assist the girls (white and colored respectively) to participate more effectively in the life of the community and in directed home experiences.

Vocational Trade and Industrial Education is expanding rapidly as available funds will permit. Several trade schools have recently been established and are now functioning. Needs and requests for evening and part time classes for adult workers greatly exceed what available funds will provide. Again on-the-job training is provided in this field for veterans.

F. The Division of Vocational Rehabilitation and Crippled Childrens' Services provides continuous services in the treatment, adjustment, education and training of the handicapped and disabled for the purpose of enabling the client to attain or to recover vocational competency.

Added educational opportunities for crippled children are being made available through county and city school systems. These services are rendering valuable assistance to school boards in their effort to care for handicapped children and adults. Special classes for crippled children have more than doubled and special attention has been given to the education and training of cerebral palsied children.

Special work conditions for severely disabled adults have been developed. A beginning has been made in the homebound program. The total number of handicapped adults served has increased, even though very limited increase in federal and state funds had been made.

G. The Local Public School System. At the time of the visitation, the local public school system consisted of 67 county school districts and 44 city school districts or a total of 111 local districts. It may, therefore, be said that the local school district organization in Alabama is much superior to that which exists in many of the states. In general a municipality becomes a city in Alabama and consequently, may become a school district, if the municipality has a population of 2,500 or more. Exceptions to this are found in counties such as Jefferson County where the population of the county is 300,000 or more. The municipality in such counties must have a population of 5,000 or more before it can be recognized as a city or a city school district. In general, the State Department of Education deals in many instances directly with the county school district, and only indirectly with city school districts. Originally, county boards of education appointed county superintendents of education as their executive officers (Section 69, Chapter 5 of Title 52, State Code). Later, however, this legislation was changed permitting county superintendents to be nominated on partisan ballots and elected by popular vote. At the time of the visitation, about half of the county superintendents are being elected and about half of them are appointed. The general administration and supervision of the public schools of each county, with the exception of cities having a city board of education, are vested in the county board of education. The functions, duties and responsibilities of county boards of education are specified in Sections 62 to 101, Chapter 5, Title 52 of the Alabama School Laws. The law requires a county board of education to appoint for every school in the county three trustees from six persons nominated by the patrons of that school. The duties of these trustees are outlined in Chapter 7, Sections 138 to 147 inclusive of Title 58, Alabama School Laws. Likewise, the duties and responsibilities of city boards of education are outlined in Sections 148 to 176 inclusive, Chapter 8, and those for city superintendents in Sections 177 to 197 inclusive, Chapter 9, Title 52, Alabama School Laws.

B. The University of Alabama, The Alabama Polytechnic Institute and the Alabama College. The University of Alabama, located at Tuscaloosa, is under the control of a board of trustees which consists of 2 members from the congressional district in which the University is located, and one member from each of the other congressional districts plus the State Superintendent of Education and the Governor. The Governor is ex-officio president of the board of trustees. The terms of the members of the board of trustees, except the Superintendent of Education and the Governor, who serve by virtue of their office, are 12 years. When the term of a member expires, the remainding members, elect by secret ballot, a successor, privided that the person elected is later confirmed by the senate. The laws governing the University of Alabama are contained in Sections 486 to 509 inclusive, Chapter 26, Title 52 of the Alabama School Laws.

In the case of the Alabama Polytechnic Institute, the trustees are appointed by the Governor, two from the congressional district in which the Institute is located and one from each of the other congressional districts. The Superintendent of Education and the Governor are also members of the board of trestees by virtue of the state offices which they hold. The governor is ex-officio president of the board of trustees. Laws governing the operation of the Institute are contained in Sections 474 to 485 inclusive of Chapter 25, Title 52, Alabama School Laws. Both the University of Alabama and the Alabama Polytechnic Institute are provided in the State Constitution.

The Alabama College, located at Montevallo, was established legislatively. In this case, the board of trustees is composed of the Governor, the State Superintendent of Education, one member from each congressional district, and two members from the state at large. In this case, the

Superintendent of Education is an ex-officio member and the Governor is ex-officio president of the board of trustees. All appointments to the board are made by the Governor and confirmed by the senate. The laws governing the operation of the Alabama College are contained in Sections 456 to 473 inclusive, Chapter 24, Title 52, Alabama School Laws.

The fourth division consists of 6 trade schools. It will be noted that the Alabama School of Trades, located at Gadsden, functions on a different basis than the other 5 trade schools, which were established later.

Legislation governing the operation of the Alabama School of Trades is contained in Sections 442 to 451 inclusive, Chapter 22, Title 52, Alabama School Laws. This school functions under a board of trustees consisting of the State Superintendent of Education as ex-officio member and five members appointed by the State Board of Education upon nomination by the State Superintendent of Education. All other Vocational Trade Schools operate directly under the administration of the State Board of Education and are regional in nature. The laws governing the establishment and operation of these other 5 Vocational Trade Schools are contained in Section 451 (1), (2), (3), (4), (5), (5A) and (6) Chapter 22 A, Title 52, Alabama School Laws. The 1953 Supplement also governs these schools and is known as the Regional Vocational and Trade Schools Act of 1947.

I. Special Schools7 There are two Special Schools known as the Alabama Deaf and Blind Institute and the Alabama Vocational School for Girls which operate under the administration of separate boards which are appointed by the Governor. Sections 519 to 534 inclusive of Article 2, Chapter 28, Title 52, Alabama Schools Laws, govern the operation of the Deaf and Blind Institute. In 1927 the Alabama legislature consolidated the Alabama School for the Negro Deaf and Blind into one corporation to be known as the Alabama Institute for Deaf and Blind. The Institute is managed and controlled by a board of trustees which consists of the Governor, the State Superintendent of

Education, and twelve other persons appointed by the governor and confirmed by the senate. Three members are to come from the congressional district in which the Institute is located and one member from each of the other congressional districts. Copies of legislation governing the operation of the Alabama Vocational School for Girls could not be secured. Section 569, Chapter 35, Title 52, Alabama School Laws states that in 1927 the name was changed from the "Mercy Home Industrial School for Girls" to the "Alabama Vocational School for Girls." Appropriations were made to this school in 1957 and the name is listed in the Educational Directory published by the State Department of Education (Bulletin 1958, No. 1).

J. Correctional Schools. Alabama has 3 Correctional Schools. They are, the Alabama Boys Industrial School, the State Training School for Girls and the Alabama Industrial School for Negro Children. Legislation governing each of these schools is contained in the Alabama School Laws as follows: The State Training School for Girls - Title 52, Chapter 36, Sections 570 to 584 inclusive; The Alabama Boys Industrial School - Title 52, Chapter 37, Sections 585 to 502 inclusive; and the Alabama Industrial School for Negro Children - Title 52, Chapter 38, Sections 603 to 613 inclusive. The Alabama Boys Industrial School operates under the administration of a board of directors consisting of the Governor, the State Superintendent of Education, the State Commissioner of Agriculture and Industries, the Attorney General of the State, the State Commissioner of Public Welfare, the State Director of Finance and the State Health Officer as ex-officio members, and 11 other members nominated by the Governor and confirmed by the senate for terms of 6 years. The State Training School for Girls is under the management and control of a board of trustees consisting of the Governor as ex-officio chairman, the State Superintendent of Education, the Commissioner of Public Welfare, the State Health Officer, and 12 members, one-half of whom shall be women, appointed by the Governor and confirmed by the senate for 6 year terms. Three of the 12 members are to come from Jefferson County and one other member is to come from each of the 9 congressional districts as they existed in 1931.

The Alabama Industrial School for Negro Children operates under a board of trustees composed of the Governor, the State Superintendent of Education, the State Commissioner of Public Welfare, the State Health Officer, and 7 other trustees appointed by the Governor with the advice and consent of the senate.

K. State Colleges. Alabama has 6 State Colleges which operate under the control of the State Board of Education. These State Colleges are: Florenc State College; Jacksonville State College; Livingston State College; and Troy State College, all of which are for white students. The Colleges for Negro students are the Alabama Agricultural and Mechanical College at Normal and the Alabama State College at Montgomery.

VIII. Areas of Conflict of Authority:

There appears to be little or no conflict between the duties and responsibilities of the Board and those of the Superintendent of Education, except for the fact that the Superintendent's office is a constitutional office whereas the office of the State Board of Education is a legislative one. Duties of the Board are more or less accurately defined in Title 52, Chapter 3, Articles 6 to 40 inclusive of the Alabama School Law. Title 52, Chapter 4, Articles 41 to 61 define the duties and responsibilities of the Superintendent of Education. In general, it may be said that the Board is a policy making body and the Superintendent of Education is the executive officer of the Board and performs the administrative functions.

While it may be said that there appears to be no conflict between the two offices concerning duties and responsibilities at present, it must also be stated that there is a possibility of conflict in the future becuase one office is constitutionally established and the other is legislatively established.

The consitutional provision for the office specifies that, "the supervision of the public schools shall be vested in a Superintendent of Education."

IX. Budgeting Procedures:

The State Superintendent of Education is responsible for preparing the Budget Request for all of the educational units under the administration of the State Board of Education. These include the operating expenses of the Department of Education and the State Board of Education, the amount necessary to support the Minimum Public School Program, the Budgets of the 5 State Colleges, the budgets for the 6 Vocational Trade Schools, the State subsidies for reimbursement to local boards of education for Vocational Education and Vocational Rehabilitation and the state fund for free textbooks. The budget forms are provided by the Budget Officer in the Department of Finance. The Superintendent of Education advises and consults with the Directors of the 6 major divisions in the Department of Education, with the presidents of the 6 state colleges under the control of the state board and with the Directors of the 6 Vocational Trade Schools in determining the needs and in arriving at the amounts to be included in the budget request of each of these divisions. The business manager in the division of Administration and Finance then compiles the total Budget Request for the Department of Education. The Superintendent of Education then presents this total request with the accompanying breakdown by divisions and services to the State Board of Education for approval. The State Board of Education has authority to increase or decrease any item in the budget request, but usually approves the budget request as presented by the Superintendent of Education. The Superintendent of Education, acting as executive officer of the State Board then presents the Budget Request to the Budget Officer in the Department of Finance. The Budget Officer consolidates this Budget Request with those of all other state departments and agencies for the purpose of preparing the proposed biennial budget for the state. The Budget Officer cannot change, disapprove, or hold hearings on this Budget Request except as he serves as an agent of the Governor. In this capacity, however, he does hold hearings and as the Governor's agent, he may increase, decrease, or disapprove any or all items in the Budget Request. Items in the budget which are constitutionally provided, however, may not be changed. The Governor then recommends to the legislature the amounts which he believes should be appropriated in the State Budget for the biennium. This recommended budget shows the annual expenditures for the two previous years and the estimated expenditures for the current year, together with the Department's requests for each year of the biennium as well as the Governor's recommendations on the same.

After the recommended Budget is presented to the legislature by the Governor in his budgetary message, appropriation measures are prepared and introduced in the House of Representatives. These measures are referred to the Committee on Ways and Means and this Committee holds hearings on them. The Superintendent of Education is always invited to attend hearings of all committees considering proposed legislation for public education. He thus has the opportunity to defend his Budget Request before the legislature. He may also call on members of his staff to assist him in this responsibility. There are no limitations with respect to any action which the state legislatur may take on the budget request of the State Board of Education except for those few items which are protected by the constitution.

The following Table (1) will show what happened to the Budget Request of the State Board of Education for the biennium October 1, 1957 to September 30, 1959.

TABLE 1. BUDGET REQUEST FOR PUBLIC EDUCATION FOR

BIENNIUM 1957 - 1959

A. Administration and Departmental Functions

Name of Item or Service	Actual Expenditures 1954 -55	1955 - 56	Estimated Expenditures 1956 - 57
Salary - State Supt.	$ 10,000	$ 10,000	$ 10,000
State Board of Ed. - Adm.	372,713	377,432	378,192
Civilian Rehab.-State & Fed.	1,079,149	1,230,377	2,235,629
Elem. Teachers-Scholarships	21,213	24,375	25,000
Free Textbooks	449,992	450,661	450,750
Illiteracy Fund	12,697	10,254	10,314
Medical Scholarships	14,700	21,550	30,000
Phys. Restoration-Crippled Children	1,039,598	1,110,103	1,147,200
Plans and Surveys	24,297	23,425	23,475
Regional Education	68,491	76,250	76,250
Revolving Fund	50,754	40,377	40,650
Social Sec.-State Matching	- - -	1,648,172	1,826,590
Student Aid-Grad. & Prof. Fields	60,334	79,592	82,500
Teachers Retirement-Exp. Fund	76,050	80,615	85,567
Teachers Retirement-States Matching	5,233,976	4,561,353	4,558,399
Teachers Special Pension Fund	108,717	67,935	655,000
Temperance Education	24,676	10,068	15,574
Voc. Ed.-State & Fed.	3,273,423	4,796,124	4,881,683
TOTAL Ad. & Dept. Functions	$11,930,360	$14,621,720	$16,532,773

TABLE 1. - Continued

Amount Requested		Governors Recommendations		Appropriations by Legislature	
1957 - 58	1958 - 59	1957 - 58	1958 - 59	1957 - 58	1958 - 59
$ 10,000	$ 10,000	$ 10,000	$ 10,000	$ 10,000	$ 10,000
416,511	418,949	295,000	340,000	390,000	390,000
2,780,072	2,781,922	1,533,300	1,533,300	575,000	625,000
25,000	25,000	20,000	20,000	25,000	25,000
950,825	950,825	450,000	450,000	461,250	465,000
12,815	12,815	- - - - -	- - - - -	- - - - -	- - - - -
30,000	30,000	30,000	30,000	30,000	30,000
1,283,154	1,283,554	966,464	966,464	483,000	503,000
26,150	26,150	20,000	20,000	22,500	22,500
76,250	76,250	76,250	76,250	76,250	76,250
51,172	51,172	- - - - -	- - - - -	25,000	25,000
1,990,870	1,990,733	2,000,000	2,000,000	2,250,000	2,250,000
82,500	82,500	60,000	60,000	81,500	81,500
91,358	90,236	91,358	90,236	- - - - -	- - - - -
4,624,393	4,840,233	4,751,025	4,751,025	4,637,775	4,864,275
675,000	775,000	725,000	725,000	1,018,660	1,118,660
51,110	51,154	25,000	25,000	- - - - -	- - - - -
6,233,604	6,293,211	4,179,923	4,179,973	4,155,750	4,205,750
$19,410,784	$19,789,701	$15,278,320	$15,277,648	$14,241,685	$14,691,935

TABLE 1. - Continued

B. THE PUBLIC SCHOOLS

Name of Item or Service	Actual Expenditures		Estimated Expenditures
	1954 - 55	1955 - 56	1956 - 57
Minimum Program Fund	$57,458,438	$79,969,469	$81,432,760
Public School Fund	6,630,000	6,420,000	6,798,875
Clarke Co. Interest on Funds	600	600	600
School Lunch - U.S.D.A.	2,770,859	2,712,245	3,711,957
Verterans Educational Trust	261,295	99,701	83,761
TOTAL Public Schools	$67,131,192	$89,200,465	$92,027,953

C. EDUCATIONAL TELEVISION COMMISSION

Alabama Ed. Tel. Comm.	54,045	161,583	196,822

D. ALABAMA DEAF AND BLIND INSTUTUTE

Alabama Deaf and Blind	733,000	882,192	858,192

E. INSTITUTIONS OF HIGHER LEARNING AND TRADE SCHOOLS

University of Alabama	4,163,510	5,789,198	5,324,069
Alabama Polytechnic Inst.	3,813,265	5,286,468	5,115,015
Alabama College	554,159	627,976	649,200
TOTAL for 3 Institutions	$ 8,530,934	$11,703,642	$11,088,284

TABLE 1. - Continued

B . THE PUBLIC SCHOOLS

Amount Requested		Governors Recommendations		Appropriations by Legislature	
1957 - 58	1958 - 59	1957 - 58	1958 - 59	1957 - 58	1958 - 59
$107,651,770	$109,747,061	$76,105,500	$76,105,500	$83,860,000	$85,564,400
7,127,875	7,472,875	7,127,875	7,472,875	7,127,875	7,127,875
600	600	600	600	600	600
3,661,000	3,661,000	3,661,000	3,661,000	3,661,000	3,661,000
75,288	67,410	75,288	67,410	75,288	67,410
$118,516,533	$120,948,946	$86,970,263	$87,307,385	$94,724,763	$95,913,285
C. EDUCATIONAL TELEVISION COMMISSION					
$ 226,290	$ 226,290	$ 955,000	$ 155,000	$ 212,500	$ 210,000
D. ALABAMA DEAF AND BLIND INSTITUTE					
$ 919,213	$ 919,213	$ 886,000	$ 886,000	$ 979,000	$ 914,000
E. INSTITUTIONS OF HIGHER LEARNING AND TRADE SCHOOLS					
$ 7,925,684	$ 7,925,685	$ 5,135,000	$ 5,135,000	$ 6,070,000	$ 6,427,500
7,229,165	7,229,165	4,709,765	4,709,765	5,599,700	5,824,000
767,305	793,305	560,000	560,000	610,000	630,000
$ 15,922,154	$ 15,948,155	$10,404,765	$10,404,765	$12,280,200	$12,139,900

E 1. INSTITUTIONS UNDER STATE BOARD

Name of Item or Service	Actual Expenditures		Estimated Expenditures
	1954 - 55	1955 - 56	1956 - 57
Alabama State College(Negro)	$ 750,000	$ 808,578	$ 775,000
Alabama A. & M. Institute	520,000	674,041	639,657
Florence State College	95,500	110,614	94,100
Jacksonville State College	95,500	111,157	95,500
Livingston State College	88,500	96,681	88,500
Troy State College	88,500	103,042	88,500
TOTAL for 6 Colleges	$1,638,000	$1,904,113	$1,781,257

E 2. VOCATIONAL TRADE SCHOOLS

Alabama School of Trades	$ 133,400	$ 150,355	$ 132,480
Tennessee Valley Trade Sch.	100,000	172,855	166,500
Geo. C. Wallace Trade Sch.	104,000	126,274	111,320
Mobile State Trade School	60,000	130,405	125,000
Shelton State Trade School	75,000	121,816	117,000
Wenonah State Trade School	85,000	137,635	121,440
TOTAL for State Trade Schools	$557,400	$839,340	$773,740

E 1. INSTITUTIONS UNDER STATE BOARD

Amount Requested		Governors Recommendations		Appropriations by Legislature	
1957 - 58	1948 - 59	1957 - 58	1958 - 59	1957 - 58	1958 - 59
$1,025,000	$1,025,000	$ 750,000	$ 750,000	$ 925,000	$ 925,000
800,657	899,657	584,657	584,657	675,000	675,000
95,500	95,500	95,500	95,500	95,500	95,500
95,500	95,500	95,500	95,500	95,500	95,500
88,500	88,500	88,500	88,500	88,500	88,500
88,500	88,500	88,500	88,500	88,500	88,500
$2,193,657	$2,193,657	$ 2,702,657	$1,702,657	$1,368,000	$1,368,000

E 2. VOCATIONAL TRADE SCHOOLS

$ 240,000	$ 240,000	$ 125,000	$ 125,000	$ 174,000	$ 184,000
268,000	268,000	160,000	160,000	187,000	197,000
260,000	260,000	110,000	110,000	180,000	190,000
194,993	194,993	115,000	115,000	160,000	160,000
167,500	167,500	110,000	110,000	150,000	150,000
210,605	210,605	120,000	120,000	150,000	150,000
$1,341,097	$1,341,097	$ 740,000	$ 740,000	$1,001,000	$1,031,000

E 3. OTHER INSTITUTIONS

Name of Item or Service	Actual Expenditures 1954 - 55	1955 - 56	Estimated Expenditures 1956 - 57
Walker Co. Junior College	$	$ 9,400	$ 10,000
Tuskegee Institute	340,000	350,000	350,000
Reemployed Retired Teachers		106,816	106,012
Teacher Trng. Equalization	940,034	1,215,000	1,215,000
Alabama Boys Ind. School	191,200	232,000	232,000
Alabama Ind. School (N)	126,851	174,991	233,850
Southern Ind. Inst.	56,932	71,949	74,990
Thorsby Institute			
Girls State Trng. School	95,664	108,545	120,000
Voc. School for Girls	15,161	14,650	14,755
TOTAL Education	$95,396,468	$121,072,152	$124,930,083

E 3. OTHER INSTITUTIONS

Amount Requested		Governors Recommendations		Appropriations by Legislature	
1957 - 58	1958 - 59	1957 - 58	1958 - 59	1957 - 58	1958 - 59
$	$	$	$	$ 25,000	$ 25,00
565,000	565,000	300,000	300,000	350,000	350,00
15,000	15,000			17,500	17,50
1,663,608	1,712,573	1,100,000	1,100,000	1,423,000	1,523,00
250,655	248,145	210,000	210,000	242,000	242,00
232,375	246,000	165,000	165,000	200,000	200,00
91,018	53,982	35,000	35,000	35,000	35,00
				40,000	40,00
132,000	132,000	110,000	110,000	120,000	120,00
15,185	15,609	15,390	10,000	13,500	13,50
$160,872,337	$163,758,632	$117,537,005	$117,873,454	$143,113,848	$144,674,82

It will be noted from the preceding Table that in practically no case did the Governor recommend more for education than the amount which was requested by the spending unit. In less than a dozen cases, he recommended exactly the amount requested, and in most of these cases the items were standard requirements which could not be reduced. In all other cases, the Governor reduced the Budget Requests. In all cases except Civilian Rehabilitation, Temperance Education, and Physical Restoration of Crippled Children where the Governor reduced the budget requests, the legislature was more generous than the Governor. However, in only 6 cases, the legislature restored the cuts made by the Governor and in 4 of these cases, the legislature actually appropriated slightly more than was requested. However, these items were State Matching in Social Security, State Matching in Teacher Retirement, Deaf and Blind Institute, and the fund for Retired Teachers.

One of the main difficulties in securing adequate appropriations is the tradition of making all educational appropriations out of the Alabama Special Educational Trust Fund. This fund is made up from receipts from the following ear-marked taxes: Coal Tonnage Tax, Express Company Tax, Hydro-Electric Tax, Iron Ore Tax, Pullman Co. Tax, Railroad Gross Receipts Tax, Sales Tax, Store Licenses, Telephone Company Tax, Tobacco Tax, Use Tax, and Lodgings Tax. It is estimated that these taxes will produce approximately \$104½ million during each year of the biennium 1956 - 57. This plus the State Public School Fund of slightly more than \$7 million makes a total available in ear-marked taxes of \$111¼ million. The total budget request for education, however, amounted to over \$160 million. The Governor recommended approximateley \$117½ million and the legislature appropriated approximately \$144 million. The Budget Officer and the Governor are required, however, to keep expenditures within the available revenue.

Consequently, there was a pro-rata reduction of approximately 10% for 1958. There is no reason why the legislature cannot appropriate out of the General Revenue Fund for education but the legislature holds to the tradition that all appropriations for education should come from the Alabama Special Educational Trust Fund and the State Public School Fund. Deficits are occurring in the Educational Trust Fund partly because of a decrease in taxes from some of these sources, but also due to the fact that appropriations for everything which has any relationship to education are made from this fund.

The next Table (Table 2) shows that the operating budget of the State Department of Education has been increased practically none at all in the last 4 years. It is also noted that the Department must pay out of the appropriation received approximately $72,000 per year to other agencies. Over $68,000 is paid as rental on the quarters which have been allocated to the Department in the State Office Building.

TABLE 2.

STATE APPROPRIATIONS FOR DEPARTMENT OF EDUCATION FOR FISCAL YEARS SHOWN

	1954 - 55	1955 - 56	1956 - 57	1957 - 58	1958 - 59
Superintendent's Salary	$ 10,000	$ 10,000	$ 10,000	$ 10,000	$ 10,000
Department of Education	368,000	368,000	368,000	390,000	390,000
Plans and Surveys	25,000	22,500	22,500	22,500	22,500
Revolving	50,000	40,000	40,000	25,000	25,000
TOTAL	$453,000	$440,500	$440,500	$447,500	$447,500

Portions of above appropriations allotted by Legislature for other Services

	1954 - 55	1955 - 56	1956 - 57	1957 - 58	1958 - 59
Transferred to Personnel Department	$ 2,300	$ 3,707	$ 3,808	$ 3,906	$ 4,477
Transferred to Teacher Tenure Com.	2,500	- - - -	- - - -	- - - -	- - - -
Transferred to Payment of Bonds on Bldg.	68,136	68,136	68,136	68,136	68,136

Table 3 shows that exclusive of Vocational Rehabilitation and Vocational Education, the Department is operating with fewer employees now than it had in 1953. This prevents the Department from Furnishing some services which are badly needed.

TABLE 3.

ALABAMA STATE BOARD OF EDUCATION

NUMBER OF EMPLOYEES

DIVISIONS:	September 1953	September 1958
Executive	11	7
Administration & Finance	49	38
Elementary	9	12
Secondary	9	14
*Special Services	7	--
Rehabilitation & Crippled Children	--	156
**Vocational	136	65
TOTALS	221	292

*Combined with Division of Secondary Education effective 12/16/55.

**Rehabilitation and Crippled Children's Service, which had been a part of the Vocational Division, was made a separate Division on October 1, 1955.

X. Budget Controls and Limitations:

After the appropriations are made by the legislature, the Governor has the authority to veto specific items in the appropriation acts which are submitted to him. He also is required to keep expenditures within the revenue receipts for the year and is required as explained above to make pro-rata cuts when the receipts fall short. The receipts from the earmarked taxes for education are the only ones which are falling short during 1958 and 1959.

The Department must submit in advance a requisition for quarterly allotment of funds. This requisition is submitted to the Budget Officer and is approved by the Governor. The quarterly allotment is not necessarily limited to $\frac{1}{4}$ of the annual appropriation. Unexpended balances may be used if needed in the fourth quarter upon the approval of the state board. At the end of the fourth quarter, however, all unexpended balances revert to the fund from which they were appropriated and may not be carried over from the first year of the biennium to the second year.

FILLING POSITIONS AND FIXING SALARIES. The State Superintendent of Education nominates and the State Board employs all personnel in the State Department. Their salaries are fixed in accordance with the classification of the merit system.

In filling vacancies, the Superintendent of Education must choose one of the first three names appearing on a list submitted to him by the State Personnel Department. Salary ranges and steps are fixed by the State Personnel Department.

PRINTING. The State Purchasing Department secures printing contracts on bids at the beginning of each biennium. There is no separate appropriation for printing, but the Department is responsible for using its own funds for this purpose. Printing of the Annual Report and professional materials may be authorized by the State Board of Education without the approval of any other state agency so long as funds are available.

TRAVEL. The State Superintendent of Education approves the travel for all members of the Department. The Legislature establishes some travel regulations which govern all state employees. Out-of-state travel by members of the Department must be approved by the Superintendent of Education and by the Governor.

PURCHASE OF SUPPLIES AND EQUIPMENT. Supplies and equipment are purchased upon requisition through the State Purchasing Department. These requisitions are submitted by the Superintendent of Education or his authorized agent. The Department may expect to have these requisitions approved and the purchases made so long as it keeps within its appropriations allotment. Availability of funds is usually the determining factor.

PRE-AUDIT AND POST-AUDIT. There is no pre-audit except that which is made by the Budget Officer and the State Department of Purchasing when requisitions are submitted. This pre-audit consists of determining whether funds are available within the quarterly allotments. The post-audit of expenditures is made annually by the State Department of Public Accounts. This office was created by the legislature and is responsible only to it.

FEDERAL GRANTS AND APPROPRIATIONS. The State Superintendent of Education, acting as executive officer of the State Board of Education, is authorized by law to receive funds made available for education. These funds are deposited with the State Treasurer and are requisitioned by the State Board to reimburse the State Department and local school units for expenditures which are made.

XI. Recommendations and Conclusions:

1. The State Board of Education should either be elected or at least appointed so that the majority could not be appointed by any one Governor.
2. The State Board of Education should be more aggressive and exercise more educational leadership.
3. The Superintendent of Education should be appointed by the State Board and should be Secretary and Executive Officer of the Board.
4. Neither the Governor nor the Superintendent should be members of the State Board.
5. In order to exercise more aggressive leadership, the State Board should meet more often and more regularly.
6. The staff in the State Department should be increased to a considerable extent in order to render much more needed services. This would mean a considerable increase in appropriations.
7. The professional staff should be removed from the Civil Service lists and the Superintendent should be permitted to select these staff members on the sole basis of qualifications, and their salaries should be fixed by the State Board.
8. Some reorganization of the divisions in the Department appears advisable. There should possibly be a Division of Instruction containing Elementary Education, Secondary Education, and Teacher Education and Certification.
9. Tradition of requiring all appropriations for education to come from ear-marked taxes should be broken.
10. Term of Superintendent should not be limited by law, but he should serve at pleasure of State Board. His salary should be increased considerably and should be fixed by the Board.

REPORT ON

DEPARTMENT OF EDUCATION

STATE OF ALABAMA

Appendix I

CONSTITUTIONAL PROVISIONS FOR EDUCATION

General Provisions.

I. "The legislature shall establish, organize, and maintain a liberal system of public schools throughout this state for the benefit of the children thereof between the ages of seven and twenty-one years. The public school fund shall be apportioned to the several counties in proportion to the number of school children of school age therein, and shall be so apportioned to the schools in the districts or townships in the counties as to provide, as nearly as practicable, school terms of equal duration in such school districts or townships. Separate schools shall be provided for white and colored children, and no child of either race shall be permitted to attend a school of the other race." (Article XIV, Section 256 of 1901 Constitution, State of Alabama.)

II. "It is the policy of the State of Alabama to foster and promote the education of its citizens in a manner and extent consistent with its available resources, and the willingness and ability of the individual student, but nothing in this Constitution shall be construed as creating or recognizing any right to education or training at public expense nor as limiting the authority and duty of the legislature, in furthering or providing for education, to require or impose conditions or procedures deemed necessary to the preservation of peace and order.

The legislature may by law provide for or authorize the establishment and operation of schools by such persons, agencies, or municipalities, at such places, and upon such conditions as it may prescribe, and for the grant or loan of public funds and the lease, sale, or donation of real or personal property to or for the benefit of citizens of the State for educational purposes under such circumstances and upon such conditions as it shall prescribe. Real property owned by the State or any municipality shall not be donated for educational purposes except to non-profit charitable or eleemosynary corporations or associations organized under the laws of the State.

To avoid confusion and disorder and to promote effective and economic planning for education, the legislature may authorize the parents or guardians of minors, who desire that such minors shall attend schools provided for their own race, to make election to that end, such election to be effective for such period and to such extent as the legislature may provide." (Article XIV, Section 256 of the Alabama State Constitution as amended in 1956.)

III. Copy of the Constitutional provisions for education in Alabama including this Section may be found on pages 6 to 17, inclusive, of the School Laws of Alabama issued in 1941 by the Alabama State Board of Education and included with other materials supplementing this report. This Section is found on pages 13 and 14 of the School Laws mentioned above. Briefly, it provides the following:

A. A state university under the management and control of a board of trustees.

B. Trustees consist of teo members from congressional district in which the university is located and one member from each of the other congressional districts.

C. Superintendent of Education and Governor are also members of board of trustees. Governor is exofficio president of the board.

D. Length of term of trustees is twelve years.

E. When vacancies occur, remainibg member of the board elect, by secret ballot, successor for unexpired term. Members so elected must be confirmed or rejected by senate when legislature meets.

F. No trustee receives any pay other than his actual expenses incurred in the discharge of his duties.

(Summary of Article XIV, Section 264.)

Superintendent.

IV. "The supervision of the public schools shall be vested in a superintendent of education, whose powers, duties, and compensation shall be fixed by law." (Article XIV, Section 262.)

THE DEVELOPMENT OF FISCAL RELATIONSHIPS OF STATE DEPARTEMENTS OF EDUCATION

Report of Visitation to the State of Minnesota

I. Date of Visit: Monday, July 7, 1958 to Friday, July 11, 1958

II. Research Team for this Visit:

Dr. Samuel Engle Burr, Jr.
Chairman, Department of Education
The American University

Mr. R. Merle Eyman
Former State Superintendent of Public Instruction, State Department of Education, Ohio

Dr. H. Thomas James
Director of Field Services, The Department of Education
The University of Chicago

III. Persons Interviewed during this Visit:

Dr. Dean M. Schweickard, State Commissioner of Education

Dr. T. J. Berning, Assistant State Commissioner of Education

Mr. E. A. Ahern, Chief Accountant

Mr. R. L. Hultman, Administrative Services Supervisor

Mrs. Grace Dougherty, Statistician, State and Federal Aids to Schools

Mr. Ferley D. Bright, Assistant Commissioner in Charge of Instruction

Mr. Stafford King, Auditor, State of Minnesota

Mr. Einer Johnson, Deputy Auditor, State of Minnesota

Mr. Frank J. Murray, Assistant Attorney General, State of Minnesota, assigned to Department of Education

Mr. Alf. F. Herbo, Consultant, Research Studies

Mr. A. R. Taylor, Director of Community School Lunch Program

Mr. W. E. Hanson, Consultant, School District Surveys and Reorganization

Mr. B. N. Hendrickson, Consultant, School District Surveys and Reorgan.

Mr. Val Bjornson, Treasurer of State of Minnesota

Dr. Forrest E. Connor, Superintendent of Schools, St. Paul, Minnesota

Mr. S. W. Wick, Director, Vocational Education

Mr. August W. Gehrke, Assistant Commissioner in Charge of Vocational Rehabilitation and Special Education

Mr. Bill Butterfield, National Citizens Council for Better Schools

Mr. W. A. Wettergren, Executive Secretary, State School Boards Association

Mr. T. C. Engum, Director, Elementary and Secondary Education Section

Dr. Arthur Naftlin, Commissioner of Administration

Mr. Raymond Vercillio, Public Examiner

Mr. Harry M. Lokken, Consultant, Research Section

Mr. Paul W. Mielke, Chairman, Minnesota State Coordinating Committee

IV. Constitutional and Legal Provisions for Education

Constitutional and other legal provisions for Education are quite extensive for the State of Minnesota. A more or less complete analysis of these regulations and provisions may be secured upon request directed to the Commissioner of Education.

V. General Impressions

A general impression was drawn from the total experience which indentifies Minnesota as a state characterized by an extreme localism in political philosophy and in operation of state agencies in general. Representation in the legislature has not been reapportioned in this century, and an over-representation of rural interests at the expense of the growing urban population has resulted. One consequence has been a rather consistent pattern of domination of the legislature by one political faction which maintains its position because of the archaic system of representation, with the opposing faction controlling state administration through the popularly elected governorship. This cleavage appears to operate rather consistently to place the state board of education, appointed by the governor, on one side of the political fence, and the legislative majority on the other.

VI. Observations and Conclusions reached from Interviews.

The State Educational Agency in Minnesota is known as the State Department of Education and consists of a State Board of Education, The State Commissioner of Education and the professional and clerical staff chosen by the Commissioner to assist in carrying out the duties, functions and responsibilities assigned to the Department of Education.

The fundamental provision for public education on the state level in Minnesota was made in Article VIII, Section 1 of the State Constitution adopted in 1857 when Minnesota became a State. This Section reads as follows:

> The stability of a republican form of government depending upon the intelligence of the people, it shall be the duty of the legislature to establish a general and uniform system of public schools.

Section 2 of Article VIII of the Constitution also provides that the principal sum derived from the sale and lease of school lands shall constitute a permanent fund which "shall forever be preseved inviolate and undiminished."

The State Department of Education operates under the direction of the State Board of Education composed of seven representative citizens of the state. The State Commissioner of Education is responsible for the administration of the Department as indicated in Section 120.01 of Minnesota Statutes. He is appointed by the State Board of Education for a term of 6 years and serves as executive officer and secretary of the board.

The State Board of Education is appointed by the Governor for terms of seven years with the term of one board member expiring each year. Originally the board consisted of five members, with 5-year terms and the 1919 law specified that the term of one member should expire January 1, 1920, the terms of two other members should expire in 1922 and the terms of two other members should expire in 1924. The 1949 session of the Minnesota legislature amended Section 120.01 to read as follows:

> A state department of education is hereby created which shall be maintained under the direction of a state board of education composed of seven representative citizens of the state, no more than one of whom shall reside in the same congressional district at the time of his appointment.
>
> The members of the state board of education shall be appointed by the governor, by and with the approval of the senate, for a term of seven years and hold office until their successors are qualified. Not later than June 1, 1951 the governor shall apoint one member whose term expires January 1, 1956, ahd one member whose term expires January 1, 1957. Members now holding office shall continue to hold office until the terms for which they were appointed expire. As the term of each such member expires the governor shall appoint a successor according to the following schedule: January 1, 1952, one member whose term expires January 1, 1958, and one member whose term expires January 1, 1959; January 1, 1954, one member whose term expires January 1, 1960, and one member whose term expires January 1, 1961; from and after January 1, 1955, one member shall be appointed each year for a term of seven years. All vacancies in the board shall be filled for unexpired terms by appointments by the governor. The sum of $15 per day for each day actually spent in the performance of their duties shall be received by members of the board as compensation for their services. One member shall be chosen annually as president, but no member shall serve as president more than three years during any term. The board shall hold its annual meeting at the state capitol on the first Tuesday in August. It shall hold quarterly meetings and may hold special meetings on such dates and at such places as it designates. No member shall hold any other office under the state except that of notary public, or be employed in any state institution.

The public statutes of 1849 to 1858 provided for the appointment of a Superintendent of Common Schools, a title which was later changed to Superintendent of Public Instruction, and in 1913 was again changed to Superintendent of Education. Appointment was made by the Governor. The office of the Superintendent administered the laws relating to the public schools of Minnesota until the creation of the State Department of Education and the State Board of Education by the legislative session in 1919 as described above.

The following Superintendents were appointed by the Governor:

NAME	TERM OF OFFICE
Edward D. Neill	March 1860 to July 1861
B. F. Crary	July 1861 to July 1862
David Blakely (Sec. of State) (Ex. off. Supt.)	1862 to 1866

NAME	TERM OF OFFICE
Henry C. Rogers (Sec. of State) (Ex. off. Supt.)	1866 to 1867
M. H. Dunnell	April 1, 1867 to August 1, 1870
H. B. Wilson	Aug. 1, 1870 to April 1875
David Burt	April 3, 1875 to September 1881
D. L. Kiehle	Sept. 1, 1881 to September 1893
W. W. Pendergast	Sept. 1, 1893 to Jan. 21, 1899
John H. Lewis	Jan 21, 1899 to Jan. 25, 1901
J. W. Olsen	Jan. 25, 1901 to Jan., 1909
C. G. Schulz	Jan., 1909 to Jan., 1919
James M. McConnell	Jan. 20, 1919 to July 31, 1919

The following Commissioners of Education were appointed by the State Board

James McConnell	Aug. 1, 1919 to April 29, 1933
E. M. Phillips	May 5, 1933 to July 31, 1934
John Gunderson Rockwell	Aug. 1, 1934 to Nov. 30, 1940
H. E. Flynn	Dec. 1, 1940 to July 31, 1943
Dean M. Schweickard	Aug. 1, 1943 ----------------

Prior to the establishment of the State Board of Education in 1919, a State High School Board functioned for a rather long period of time. The minutes of the meeting of April 18, 1878 of the State High School Board indicate that this was the date of the organization of that Board. The rooms of the Superintendent of Public Instruction were specified as headquarters of the Board and the member ship of the board consisted of the Superintendent of Public Instruction, the President of the University of Minnesota, and one member appointed by the Governor and confirmed by the Senate. The laws of 1878, 1881, 1899, 1901, 1905, and 1913 contain the legal description of the powers, duties and responsibilities of the State High School Board. In general, these consisted of making provisions for the visitation and inspection of the high schools of the state. These responsibilities were later transferred to and assumed by the State Board of Education when it came into existence in 1919.

The public educational system of the State is composed of a number of major divisions. The laws of the State give the State Department of Education the responsibility for the distribution of school aids which are made available by appropriations made by the legislature. The Department of Education is therefore a very important unit in the public educational system of the state.

The Department of Education operates under three Divisions, each in charge of an Assistant Commissioner.

1. Business and Legal
2. Instruction and General Education
3. Vocational Rehabilitation and Special Education

The State Board of Education through the Department of Education, exercise general supervision over the public schools and public educational agencie of the State except the University of Minnesota and the State Teachers Colleges. It is responsible for the classification of schools, distribution of State Aid to schools, preparation of courses of study, the certification of teachers, the preparation of a uniform system of records for the public schools, examination and approval of plans and specifications for school buildings, the operation of the loan library system, and the appointment of the State Advisory Commission on School District Reorganization.

Another important unit is the local common school system which is composed of approximately 3,000 school districts under the control of local boards of education. In this group may be found approximately 1,500 districts which operate only elementary schools consisting mainly of one-room and two room schools. There are also approximately 1,000 districts which operate no schools and these are known as "closed schools" districts. This leaves only 450 to 500 districts which maintain graded elementary and secondary schools. However, most of the pupils are located in this last mentioned group of districts (566,516 out of a total of 617,365). In fact, nearly one-third of these pupils (153,996) are located in the six special districts which are cities of the first class; namely Minneapolis, St. Paul, Duluth, Rochester, Winona, and South St. Paul. There are also special types of schools such as area vocational schools, teacher training departments (in 5 school districts), nine junior colleges and Indian Schools.

Another unit in the public educational system of the State is the office of the County Superintendent of Schools, In Minnesota, the county superintendent of schools is elected by popular vote for a four year term except in Lake and Cook Counties where the county superintendents are appointed by the county boards of education. Ramsey County recently abolished the position of county superintendent of schools since common school districts no longer exist in this county. As counties cease to have common school districts, there is a tendency to abolish the position of county superintendent of schools. In Hennepin and St. Louis Counties, only the voters living outside the cities of first class vote for election of the county superintendent since he has no jurisdiction over the school districts of cities of the first class. He has no jurisdiction over schools in the independent districts but the voters in such districts are nevertheless permitted to vote for the election of the county superintendent.

Vacancies in the office during the term of office are filled by appointments by the county board of education for the remainder of the term for which his predecessor was elected. The county superintendent of schools, where that office still exists, is the administrative and supervisory officer for all of the schools within the county which do not employ their own superintendents - usually the ungraded elementary or rural schools of the county. He can advise and recommend to the local boards of education, but they are not compelled to follow his advice or recommendations. He also performs specific duties which are assigned by the State Department of Education. He assists in settling disputes between school districts in such matters as tuition for non-resident pupils, transportation and other inter-district problems. He is required by law to hold an annual meeting of all school officers in the county to discuss common problems. He is required to conduct county teachers institutes, to be official custodian for teachers' certificates, to encourage membership in teachers' associations, and to administer the teachers' retirement fund within the county. He also has the responsibility for the visitation and inspection of the rural schools under his administration to see that these schools meet the minimum standards established by law and by the State Department of Education for participation in state aid. The county superintendent is also responsible for a major portion of the reports from schools under his administration to the State Department of Education. Since these reports serve as the basis for state aid they are extremely important and hence must be accurate. The school survey law (Chapter 421, Laws of 1947) passed by the 1947 legislature and amended by later legislatures placed a large portion of the work and responsibility for the program of School District Reorganization upon the county superintendent of schools. A bulletin entitled "School Districts, The Key to Educational Opportunities,' shows the progress being made in this respect and also the mimeographed bulletins entitled "Laws 1957 - Chapter 947" and "Summary of Procedures in School District Enlargement" explain in detail the procedures which are followed.

Another major unit of the state educational system is the five Teacher Colleges under the control of a Teachers College Board. These colleges are maintained entirely by appropriations by the legislature. These colleges are located at Winona, Mankato, St. Cloud, Moorhead and Bemidji. The State Teachers College Board is composed of nine members, eight of whom are appointed by the governor, subject to confirmation by the Senate. The other member is the State Commissioner of Education who is an ex-officio member and serves as secretary of the board. Board members do not receive a salary, but are reimbursed for expenses incurred in the performance of their duties.

The fifth major unit in the state educational system is the University of Minnesota. The University of Minnesota was established by Chapter 3 of the Territorial Laws of 1851. This act was recognized and perpetuated by Article VIII, Section 4 of the State Constitution of 1857. The government of the University is vested in a Board of Regents consisting of twelve members, elected by the legislature for the terms of six years, four members being elected each biennium. The members of the Board of Regents receive no salary, but are reimbursed for expenses incurred in the performance of their duties. The chief executive officer of the University is the Chancellor (or President) who is elected by the Board of Regents and serves as ex-officio president of that board. The Presiden is the official representative of the Board of Regents. It is upon his recommendation that the Board of Regents acts in preparing the biennial budget request, and he presents the needs of the University to the legislature.

Another branch of units of the state educational system is the Special Schools for the Blind and Deaf. These schools, which are located at Faribault are actually operated under the administration of the Department of Welfare as are also the schools at the Crippled Childrens Hospital in St. Paul, the Owatonna State School, the Minnesota School and Colony at Faribault and the Cambridge State School and Hospital. The state also operates schools (under the Youth Conservation Commission) at the State Training School for Boys at Red Wing, and the Home School for Girls at Sauk Centre.

Another important unit of the state educational system is the Teachers' Retirement Board. The State Teachers' Retirement Fund is administered by a Board of Trustees which consists of three ex-officio members, namely, the State Commissioner of Education, the State Commissioner of Insurance, and the State Auditor, as well as two members elected by members of the Retirement System. The law relating to the State Teachers' Retirement Fund was first enacted in 1931 and replaced the Teachers' Insurance and Retirement Fund which had been operating since 1915. Amendments to the law broadening its scope and altering some of its original provisions have been made in the 1947, 1949, 1951, and 1953 sessions of the legislature. Membership now covers all teachers employed in all of the public schools of the state, except those in cities of the first class which have their own Retirement System. Teachers in the University of Minnesota are not covered, but teachers in the State Teachers Colleges and other State institutions are covered.

The above analysis gives an outline of the seven major units into which the state educational system may be divided. Bulletin No. 39 of the Minnesota Taxpayers Association entitled "Minnesota's Public Educational System" under date of October 1956 presents in considerable detail the organization, scope of activities and financial data of these major units of the state educational system. (Copy of this Bulletin is being mailed under separate cover.)

VII. Budgeting Procedures

In Minnesota the Commissioner of Education is responsible for preparing the Budget Request for the Department of Education and for presenting the same to the State Board of Education for approval. After it is approved by the State Board, the Commissioner of Education is then responsible for presenting it to the Commissioner of Administration and then in turn to the legislature. The Commissioner of Education assigns the responsibility of the preliminary preparation of the Budget Request to the three Assistant Commissioners and the Accountant. The Assistant Commissioner for Business and Legal Services serves as chairman. This group acts with the aid of a legislative committee consisting of the Chief of the Teacher Personnel Section, the Chief of the Vocationa Education Section, and the Chief of the Elementary and Secondary Section. Each Assistant Commissioner is responsible for making budget recommendations for his own Division and these recommendations are reviewed by the committee mentioned above. The three budgetary requests are then consolidated by the committee and are then recommended to the Commissione of Education. The Commissioner then reviews these recommendations, revises them if he so desires, and then recommends his Budgetary Request to the State Board of Education.

The Assistant Commissioner for Business and Legal Service together with the Accountant and the Research Analyst in charge of State Aid and Statistics is responsible for furnishing information concerning the appropriations needed in State aids in accordance with the provisions of law. When the legislature decides to change the law which establishes the formula for distribution as was done in 1957 session, it becomes extremely difficult, if not impossible, to furnishe an accurate estimate of costs based on the newly proposed formula in time for the necessary appropriations to be made. For this reason, it is predicted that a deficit appropriation will need to be made by the legislature in 1959 to provide for the deficiency which will occur in this biennium.

The forms for the Budget Request are prescribed and furnished by the Commissioner of Administration. The Commissioner of Administration is appointed by the governor and serves as his agent in reviewing the Budget Requests. The Budget Request of the Department of Education including both the internal operating expenses of the Department itself, and also the State Aids to local school districts, after being approved by the State Board of Education is then submitted to the Commissioner of Administration who, as the agent for the governor, has the power to reduce, eliminate, or increase any item in the Budget Request. The governor then presents his recommended Budget to the legislature. The Commissioner of Education, or his delegated representative, has the opportunity to appear before the Commissioner of Administration and before the committees of the legislature in defense of his request. No other state boards have authority over the Department of Education budget. The budget which the governor recommends to the legislature shows the actual expenditures for the two previous years, the estimated expenditures for the current year, and the department's request for each year of the next biennium. The budget request of the Department of Education is presented as a part of the total State budget by the governor in his budget message. It also shows the recommendations of the Commissioner of Administration and the governor for each year of the biennium. There are no legal requirements for publicizing the budget other than the printing of the budget recommended by the governor and the distribution of the same to members of the legislature. During the legislative hearings which are held on the Budget Request, the Commissioner of Education or his delegated representative, attends and explains the reasons for the requests. The Appropriations Committee of the House and the Finance Committee of the Senate have learned to depend upon and avail themselves of this service. It is also a custom in the State of Minnesota for a representative of the State Department of Education to attend every session of the education committees of the House and the Senate. This is done at the request of the chairmen of these committees. By this means the Department of Education maintains excellent liaison relationship with the legislature. The legislature is not required to act on the governor's recommended budget before acting on other appropriation bills. It may delete items, make cuts, or add items as it sees fit. All appropriations are in dollar amounts. The governor has the authority to veto specific items in the budget when the appropriations act is submitted to him by the legislature. The detailed report of the Minnesota State Department of Education Budget Request for the biennium 1957-59 shows that the governor recommended approximately 66% of the amount requested by the Commissioner of Education for the internal operation of the Department while the legislature appropriated approximately 70% of the amount requested. This indicates that while the present governor is noted for his interest in education, the legislature was even more generous than the governor's recommendations. The difference between the Department's request, the governor's recommendations, and the actual appropriations made is largely accounted for in the addition of new positions which the Department believes to be justified.

VIII. Controls Over the Budget After Appropriations Are Made

After the budget is approved by the legislature and the required appropriations are made, no state agency may require the reduction of the total amount, require that any or all items in the budget be prorated, nor require the elimination of any specific items in the budget. The Commissioner of Administration can and sometimes does, however, assume administrative authority as to whether or not a request for a certain expenditure such as the purchase of a filing cabinet, an electric typewriter, or the expense for printing a bulletin should be approved even though the appropriations are adequate to cover the expense. This procedure places the final judgment as to the needs of the Department in the hands of the Commissioner of Administration as the agent for the governor, instead of in the hands of the Commissioner of Education.

The appropriations made by the legislature are broken down into quarterly allotments by the Commissioner of Administration. The quarterly allotments are not necessarily in equal amounts. Reports indicate that the Commissioner of Administration is cooperative in following the recommendations of the Commissioner of Education with regard to the breaking down of the annual appropriation into quarterly allotments. After these quarterly allotments have been established by the Commissioner of Education, they become the actual budget of the Department.

In the filling of vacancies which occur or in the establishment of new positions the State Board of Education has the authority to fill such positions upon the recommendation of the Commissioner of Education.

All positions except that of the Commissioner of Education, are, however, Civil Service and hence recommendations must be made from the Civil Service List. Provisional appointments may be made, but the appointee is subject to Civil Service Examination whenever such examination is made available.

The State Department of Education has all of its printing and duplicating done through the State printer. The State Board of Education may order the printing of the annual report. Other materials may be printed upon the request of the Commissioner of Education and the approval of the Commissioner of Administration so long as funds are available. The Department is consideranly handicapped in duplicating and mimeographing becuase of not being equipped to do this type of work itself.

The Commissioner of Education approves all travel requests within the State for staff members of the Department. Certain general regulations applicable to all state employees are, however, established by the Commissioner of Administration. All out-of-state travel for employees of the State Department of Education must be approved by the State Board of Education, the Commissioner of Administration and by the governor.

Most supplies and equipment for the Department of Education are purchased by the State purchasing agent on competitive bidding. There are, however, a few small items which the department may purchase directly.

IX. Pre-audit and Post-audit of Accounts

In general, there is no transfer of funds from one account to another, even though the law soes not specifically forbid it. Unused balances in one quarterly allotment may be recovered if needed in subsequent quarters, but advanced draws may not be made upon future quarterly allotments. Requisitions or purchase orders must be approved by the Commissioner of Administration and in some instances by the purchasing agent before the order is placed. This procedure constitutes the pre-audit of accounts. In general, this pre-audit is limited to the determination of availability of funds in the appropriation, but it is not always true, and the possibility of undue restrictions exists. The post-audit of accounts is made by the Public Examiner. It may be made at any time, but is usually made every two years. This post-audit is confined largely to the legality of expenditures and the limitations of the Appropriations Act.

X. Federal Funds Administered by the State Department of Education.

All receipts in Minnesota from the Federal Government for education are reappropriated to the State Department of Education by the legislature for the purposes for which they were granted by the U. S. Congress, and they are budgeted in the same manner as other appropriations. When receipts from the Federal Government accrue during the period of time when the legislature is not in session, the governor, by executive order, may accept these funds for the State and upon the recommendation of the State Board of Education may assign funds for education to the Department of Education pending further action by the legislature.

THE DEVELOPMENT OF FISCAL RELATIONSHIPS OF STATE DEPARTMENTS OF EDUCATION

Report of Visitation to the State of Washington

I. Date of the Visit: Monday, June 2, 1958 to Friday, June 6, 1958.

II. Research Team for this Visit:

Mr. R. Merle Eyman
Former State Superintendent of Public Instruction,
State Department of Education, Ohio.

Dr. Edgar Morphet
Professor of Education
University of California, Berkeley, California

III. Persons Interviewed:

Mr. Ross Erwin, Administrative Assistant

Mr. Lloyd J. Andrews, State Superintendent of Public Instruction

Mr. E. J. Vandberg, Assistant Attorney General assigned to Superintendent of Public Instruction and State Board of Education

Mr. Herman Miller, Director of Vocational Education

Mr. M. C. Smart, Disbursing Officer for Vocational Education and Vocational Rehabilitation

Mr. George Howe, Fiscal Officer for State Superintendent of Public Instruction

Mr. E. M. Oliver, Director of Vocational Rehabilitation

Mr. Elmer Breckner, Director of District Organization and Finance for State Board of Education

Mr. Glenn, Statistician for State Superintendent of Public Instruction

Dr. Paul W. Ellis, Legislative Auditor for Legislative Budget Committee

Mr. E. D. Brabrook, Director of the Budget for the Governor

Dr. Wendell Allen, Director of Teacher Education and Certification

Mr. Joe Chandler, Executive Secretary, Washington Education Association

Mr. Strener Brighton, Assistant Secretary for Research, Washington Education Association

Dr. Arnold C. Tjomsland, Director of School Building Facilities

IV. There seem to be comparatively few fiscal controls in the State of Washington which might have an adverse effect on the educational program. Comments on some of the more important fical controls follows:

1. The budget for the State Department of Education divides into two distinct parts (a) that which comes under the State Board of Education and (b) that which comes under the State Superintendent. There is a pre-audit expenditures proposed in the State Superintendent's budget. The pre-audit is usually a formality but in some cases questions have been raided regarding certain kinds of equipment. For example electric typewriters have not generally been approved. The pre-audit generally does not seem to have presented any serious barrier thus far but might at some future date.

   There has recently been a study of state accounting procedures which will probably result in a proposal of pre-audit for all state expenditures. This will be something to be watched and studied in the future.

2. Budget. The budget requests are prepared by the State Board and State Superintendent as indicated above. These of course include separate budgets for vocational education and vocational rehabilitation. These budget requests go to the Governor and are published in the form in which submitted together with the amount recommended by the Governor. At the last session of Legislature the Governor proposed a reduction in the budget but the Legislature provided almost the amount requested.

   There is quite a bit of flexibility in the budget as appropriations are made for (a) salaries and (b) operation and maintenance. There is no attempt to make detailed appropriations which might limit the operation of the Department.

3. Travel. The amount for travel is included in the budget along with other items. The State Board and the Department determine their own travel needs within the limits of the budget. There is a limit of $9.00 per day for expenses for in-state travel and $12.00 for out-of-state travel. No approval other than that of the Board is required for out-of-state travel.

4. Reductions in the Budget. The Governor has suggested that all departments attempt to keep their expenditures below the amount appropriated. A 15 per cent reduction has been suggested but so far there is no requirement that such a reduction be made. The suggested reduction seems to have been proposed on the basis of decreases in state revenues.

5. Voting Tax Increases. Washington has an unfortunate limitation on voting tax increases which is generally known throughout the country. The provision that there must be a 60 per cent favorable vote but that at least 40 per cent of those who voted in the last general election must vote in a tax election, makes it difficult in some districts to vote increases. Thus, those who fail to vote may vote against the tax increase.

6. Divided Responsibility. Because of peculiarities in law and a fear on the part of the State Board that the newly elected State Superintendent might attempt to replace people who had served over a long period of time in the State Department of Education, several positions have been established as State Board positions while the others are State Superintendent's positions. The Superintendent uses and controls those on his list of positions but the appointment for the

other positions is made by the State Board. Everyone agrees that this is an undesirable situation; yet the Board is not willing to make a change unless there can be some assurance that competent persons will be continued in service. If a way can be found to resolve this difficulty it is probable that the present division will be discontinued. A number of the appointments on the State Superintendent's staff have involved people who have not any experience, or at least recent experience, in education. For example, in the field of finance, there are some people who know details of finance from a legal point of view but have not had an opportunity to develop an understanding of finance from an educational point of view. It is generally recognized that his situation is not satisfactory. Two of the urgent needs are for (a) a person to head up finance and administrative services and (b) a person to head up the instructional and curricular services, each of whom would be leaders in their respective fields. Becuase of the difference in points of view on the part of the State Superintendent and the State Board, this situation may not be resolved as promptly as it should be.

V. Observations and Conclusions Reached from Interviews.

The State Educational Agency in Washington consists of two and possibly three separate organizations, namely, the State Superintendent of Public Instruction, the State Board of Education and the State Board for Vocational Education. The chief state school officer is the State Superintendent of Public Instruction who is elected by the people on a nonpartisan ballot and for a four year term. He may succeed himself in office as often as the people reelect him. There are no qualifications established for the office except that he be a qualified elector residing in the state. The present Superintendent of Public Instruction, Mr. Lloyd J. Andrews was elected in November 1956 and took office in January 1957. He defeated Mrs. Pearl A. Wanamaker by a majority of approximately 170,000 votes. Mrs. Wanamaker had held this position for four years.

In Washington, the State Board of Education consists of 14 members, 2 from each of 7 Congressional Districts. The members are elected by the School Directors for term of 6 years. The terms are staggered so that only one from any Congressional district is elected at any election. Vacancies are filled for the unexpired term by appointment by the Board.

It is interesting to note that while the State Constitution provides for the office of the Superintendent of Public Instruction there is no mention made in the constitution with regard to the State Board of Education. Although several changes have been made since its origin, the State Board of Education was created by Legislative action shortly after Washington became a State and shortly after the adoption of the State Constitution. The Constitution provides that the State Superintendent of Public Instruction "shall have supervision over all matters pertaining to the public schools of the state" and "shall perform such specific duties as may be prescribed by law."

Legislative acts have placed specific responsibilities upon the Superintendent of Public Instruction from time to time. Some of these responsibilities are apportionment of State funds to school districts as state subsidy for the operation of schools and the construction of school facilities; preparation, prescribing and printing of blanks, forms, registers, courses of study and rules and regulations for the government of the common schools; administration of education for handicapped children; administration of the school lunch program; and the issuance of teaching certificates.

This has caused some conflict and dissention since the Legislature has through various acts enacted from time to time also given certain authority and responsibilities to the State Board of Education, Some of these responsibilities are: to approve preparatory requirements for entrance to institutions of higher learning; approve teacher education courses; supervise the issuance of teachers certificates; accredit secondary schools; prepare outlines of courses of study for the common schools; determine the meaning of "education" in so far as the State's obligation is concerned, administer the state's school building program; administer the junior college program;and administer school district organization.

It is easy to note the duplication and the possibility of conflict from this outline of duties and responsibilities. For example, the Superintendent of Public Instruction is constitutionally charged with the responsibility of "supervising" all matters pertaining to the public schools while at the same time the State Board is legislatively charged with the responsibility for administering cettain of the same responsibilities. Also, the Superintendent of Public Instruction is charged by legislation with the responsibility of supervising the issuance of teaching certificates.

The State Superintendent of Public Instruction has the responsibility of apportioning all state funds to school districts according to law, but the State Board has the responsibility of administering the State's school building program. In addition to this confusion there is, of course, also the State Board for Vocational Education which administers the programs for both Vocational Education and Vocational Rehabilitation.

The State Board of Education is the same board which also serves as the State Board for Vocational Education and the State Board for Vocational Rehabilitation. The State Superintendent of Public Instruction serves as President of the State Board of Education but is without a vote except in case of a tie. He serves as Executive Officer of the State Board for Vocational Education, but in this case the Board elects its own President.

Presumably this cleavage in administrative responsibility and authority had been growing over a period of several years but became much more pronounced during and immediately following the heated campaign in connection with the election of the State Superintendent of Public Instruction in November, 1956. Between the November election and January 1, 1957 when the new Superintendent of Public Instruction took office, reports were circulated to the effect that changes were to be made in top personnel such as Division Directors in the Department of Public Instruction. The State Board of Education took action designed to protect top personnel in the fields in which, according to legislature, the administration had been assigned to the Board. The net result is that most of the top personnel in the fields directly under the administration of the Superintendent of Public Instruction are new and most of these regarded as being under the State Board have remained on the job.

In addition to the relatively high number of top personnel on the staff of the Superintendent of Public Instruction who are new to their jobs, it is also true that many of them have had little or no experience in the field of education. Although most of these people are good technicians and are quite efficient in the roles to which they have been assigned, they do not have the educational background either in training or experience to enable them to exercise the leadership among the members of the teaching profession, which seems to be necessary. In fact, it sould possibly be stated that the Superintendent of Public Instruction does not believe that such leadership is either necessary or desirable on the part of his staff members. He believes that members of his staff should be competent in routine work assignments, but that the Superintendent of Public Instruction should furnish the educational leadership for the department as a whole. When one realizes that the Superintendent of Public Instruction has been a member of the State Senate for two terms and has had valuable experience in business and industry, it must also be realized that he has had only one or two years experience as a teacher and no experience as a school administrator prior to becoming the State Superintendent, the problems assume major proportions. It seems only fair to say that such philosophy of educational leadership on the State level is not well accepted by the teaching profession and the school administrators of the State of Washington. There is evidence of the need of at least two top flight people on the staff of the Superintendent of Public Instruction; one with thorough training and experience in the field of School Finance and the other with a comparable background in the field of Curriculum and Instruction.

Washington now has one of the best equalization programs of state subsidy to local school districts among all of the states of the Union. This splendid program can be ruined in short order unless the proper educational leadership on the State level is furnished and accepted.

For example, the present State Superintendent of Public Instruction stated that he believed that it was the function of the General Assembly to determine what the program of support should be and the function of the State Department to determine and report what the cost of that program would be.

The following communication from Dr. Paul Ellis to Superintendent Andrews under date of February 27, 1958 is indicative of some of the tinkering with this program of state support for local schools which may take place in the hands of those who are not professional educators.

"I would appreciate receiving the following information as soon as it can be conviently provided. I would prefer that the various portions be sent from time to time as they are ready, without holding until all materials may be assembled."

A. Affecting Equalisation

1. What would be the dollar effect on each district of eliminating the basic allotment?

2. What disadvantages, if any, would accrue from repealing RCW 28,41,090?

3. If provisions for public school support were revised as follows, what would be the estimated dollar effect on each district and on the state for either 1956-57 or 1957-58:

   a. Make the real estate tax a state tax; and
   b. Add 17¢ to the equalization level?

4. If, for the same year, the attendance factor were reduced from 40¢ to 25¢ and the equalization level similarly increased, what would be the effect on each district and on the state? If the reduction were from 40¢ to 30¢ and the equalization factor similarly increased?

5. What disadvantages, if any, would accrue from amending RCW 28,41, 010, subsection (5) to fix the equalization level at a given number of cents per day instead of leaving this item variable.

6. If the last paragraph of RCW 28.41.080 had not been amended in 1955, how different would state support for each district have been in 1956-57 or 1957-58.

7. What districts have state aid limited by the application of two times the equalization level? What is the dollar effect on each district? What other districts would be affected, and by how much, if this were changed to 1.75 times the equalization level?

8. Will you kindly advise which of the following are treated as in-lieu-of-tax for school equalization purposes:

   a. PUD excise tax
   b. State reforestation
   c. Indian education

I would appreciate a description of such of the above as are not treated as in-lieu-of taxes, with a brief explanation of why they are not so treated.

B. Affecting the Attendance Factor.

9. What would have been the dollar effect on each district for 1956-57 or 1957-58 if membership instead of attendance had been used as a basis for distributing state aid, without changing the number of cents per day?

10. What data are available to show costs, other than those for transportation, separately for each of the following categories of instruction for 1956-57?

    a. kindergartens; b. elementary schools; c. junior high schools
    d. approved 13th and 14th years other than junior colleges;
    e. high schools; f. parental schools; g. part-time schools (how are they defined for support purposes?) h. evening schools (how are they defined to distinguish from part-time schools, or are they?); i. approved vocational classes;
    j. special service units; (is a classification of these available
    What fees or other revenues are properly allocable to each?

To what do available data constitute compliations of direct charges and to what extent do they represent allocations of indrect charges?

11. How much is distributed in total to all school districts to cover the attendance premium for vocational education?

C. Affecting the Educational Unit Factor

12. How many certificated employees other than instructional personnel and superintendents are currently being used as a basis for distribution of state funds? A classified list by function of persons would be desirable if available.

13. RCW 28.41010 defines a "certified employee" as "an employee holding a position requiring a teaching certificate." By what interpretation, ruling or other justification does the Superintendent of Public Instruction allocate funds on the educational unit basis to persons holding teaching certificates but who hold such non-teaching positions as accountant, purchasing agent, or business manager?

D. Concerning Auxiliary Enterprise.

14. To what extend can you compare costs with revenues associated with:

    a. Lunch room operations
    b. Adult education
    c. Recreation and other community services?

E. Concerning the High School Districts

15. Do you deem it desirable for us to reconsider the present division of the 14 mills between the elementary districts and the high school districts?

The above information is desired by both the Legislative Council and the Legislative Budget Committee. Accordingly, it would be desirable for Don Sampson to receive an identical supply of the material requested

Your cooperation is appreciated."

To illustrate the confusion and lack of confidence which evidently existed in those responsible for certifying the needs of the schools of the State, it is only fair to state that for several bienniums the State Superintendent has recommended one set of criteria while the School Directors Association has recommended another.

VI. Sources of Public School Support

Financial support for the operation of Washington's public schools is derived from four sources: State funds, county funds, local district funds and Federal funds.

A. State Funds

The income which the State receives from the investment of the Permanent School Fund and from the sale, lease or rental of school lands or their products is deposited in the Current State School Fund. In addition, the legislature makes an appropriation biennially from the State General Fund to the Current State School Fund. Current State School Funds are apportioned to school districts in the manner indicated below.

Ten times annually, at monthly intervals beginning in September, the Superintendent of Public Instruction (a) apportions to each county from the Current State School Fund the amount due the school districts of the county and (b) notifies the State Treasurer of the amounts so apportioned. Current Sate School Funds are then transferred to each county treasurer for deposit to the school districts of his county.

The Current State School Fund is apportioned to school districts on the following bases:

a. Total days of attendance credit at 40¢ a day.

b. The amount required to supplement local district tax receipts up to the present equalization level of 46¢ for each day of attendance credit.

c. Sixty per cent of approved transportation costs in non-equalization districts; up to 90 per cent in equalization districts.

d. The number of educational units (certified employees) times $1,840.35, the amount per unit for the 1957-58 school year.

In addition, the legislature also makes a biennial appropriation (a) from the State General Fund to assist in financing the cost of educating handicapped children and (b) from the State School Equalization Fund to supplement receipts from the real estate transaction tax in the various counties, thereby making available the 17¢ attendance per day from the county (see County Funds). The State funds appropriated for the education of handicapped children are distributed to school districts by the Superintendent of Public Instruction to pay the cost of such services over and above the cost of regular school services.

B. County Funds

If the majority of school boards in a county declare by resolution that county funds are needed for the support of schools, the county commissioners are required to pay to every district in the county 17¢ for each day of attendance credit.

Funds for this purpose are derived from a real estate transaction tax which the commissioners are empowered to levy. If the receipts from that tax are not sufficent to discharge the obligation, the deficit must be apportioned to the county by the Superintendent of Public Instruction from the State School Equalization Fund appropriation mentioned above.

C. Local District Funds

If a school district operates both elementary and high schools, a tax levy of 14 mills on the assessed valuation of the district may be made for school support. In districts that operate elementary schools only, the maximum levy is dependent upon the levy required for the high school district fund of the county. If the maximum levy of 5.6 mills is required for this fund, the maximum elementary school district levy would be 8.4 mills. A reduction in the former levy would result in a corresponding increase in the latter levy.

The maximum levy for a union high school district is 5.6 mills and for any of its elementary components 8.4 mills.

Additional local funds may be provided by the voters' approving the imposition of excess levies.

D. Federal Funds

The Federal Government provides funds to local districts (a) to assist in the operation of school lunch, vocational education and vocational rehabilitation programs; (b) to help pay the costs ofvveterans' education in vocational agriculture; (c) to compensate for tax revenue lost due to federal ownership of property in the district; and (d) to help pay maintenance and operation costs in areas affected by Federal activities. In order for a district to be eligible to receive a payment from the Federal Government for maintenance and operation (a) the pupil's parents must live on and/or work on Federal property and (b) the district must have three percent increase in student population, with a minimum increase of ten pupils. In addition, a part of the revenues resulting from the sale of Federal Forest products and from payments of Taylor Grazing Act fees is allotted to school districts in the counties in which such forests of grazing lands are located.

VII. School Finance

A. General Fund

Amount of Receipts	Derivation of Funds
1. Attendance Allotments	1. Attendance Allotment
a. 40¢ per pupil day - State	a. sales tax, business and occupation tax, compensating and utility taxes, licenses and fees.
b. 17¢ per pupil day - County and State.	b. One per cent real estate transactions tax and automobile excise tax.
c. Attendance is estimated for current year.	

d. Attendance is weighted for apportionment purposes:

1) Jr. high school attendance	x 1.2
2) High School attendance	x 1.4
3) Vocational attendance	x 2.0
4) Junior college attendance	x 2.0

e. Special services receive 3,000 days for each unit (librarian, counsellor etc.)

2. Education Unit Allotment	2. Educational Unit Allotment
$1,840.35 for 1957-58 and $1,863.35 for 1958-59. Number of units is estimated for current school year.	Sales tax, business and occupation tax, compensating and other public utility taxes, licenses and fees.
3. Transportation Allotment	3. Transportation Allotment
Non-equilization districts are reimbursed for 60% of approved operating and depreciation costs; equalization districts are reimbursed from 60 to 90 per cent.	Sales tax, business and occupation tax, compensating and public utility taxes, licenses and fees.
4. Equilization of School District Tax Receipts	4. Equalization of School Tax Receipts
Equalization level - 46¢ per pupil day; estimated at 47¢ for 1958-59. (If 5/6 of the maximum general fund tax levy plus receipts from the high school district fund and in-lieu-of-tax receipts fail to produce 46¢ per pupil day, then districts are paid the difference between the amount from these sources and 46¢).	Automobile excise tax.
5. Local District Taxation	5. Local District Taxation
a. Regular levy - 14 mills.	Property tax.
b. Excess levies. 1) Voted by registered voters living within the school district. 2) Sixty percent of those voting must approve. 3) Forty percent of the number who voted at the last general election in the school district must vote.	

6. Non-High Receipts	6. Non-High Receipts
Not more than 2/5 of the 14 mills for an elementary district may go to the high school district fund of the county. (Money from this fund is paid to high school districts on the basis of the cost of educating students from elementary districts after State and county receipts have been deducted.)	Property tax
7. Federal Funds	7. Federal Funds
a. Vocational - home economics and agriculture	Appropriations by Congress
b. Hot lunch reimbursement - 4¢ per meal.	
c. Federally impacted areas.	

B. Building Fund

How Derived

1. Diversion of part of general fund levy - not more than 20 percent.
2. Excess levy.
3. Sale of bonds.
4. Interest from investments.
5. Payment from non-high districts for their share of high school construction costs.
6. Miscellaneous (permissible) revenues from Federal forests or grazing gifts, in-lieu-of-tax payments, etcc
7. Matching funds from the State.
    a. District must provide capital funds through bond issue and/or excess levies equal to 10% of assessed valuation.
    b. Matching funds only for new construction.
    c. Matching funds vary from 0 to 90%.
    d. Matching funds vary among districts according to valuation, assessment ratio of the county, and the number of educational units of the district.
8. Funds from the Federal Government on basis of number of unhoused pupils resulting from residence in district of pupils federally connected families.

THE DEVELOPMENT OF FISCAL RELATIONSHIPS OF STATE DEPARTMENTS OF EDUCATION

Report of Visitation to the State of Maine

I. Date of Visit: Thursday, May 22, 1958 and Friday, May 23, 1958.

II. Research Team for This Visit:

Dr. Samuel Engle Burr, Jr.
Chairman, Department of Education
The American University.

Dr. Wylie H. Russell
Associate Professor of Education
The American University

III. Persons Interviewed:

Dr. Warren G. Hill, State Commissioner of Education

Mr. Fred L. Kenney, Education Director of Administrative Services

Mr. Clyde Russell, Executive Secretary, Maine Teachers Association

Mr. Kermit S. Nickerson, Deputy Commissioner

Mr. Chester T. Booth, Accountant - Auditor

Mr. Philip A. Annas, Executive Director, Division of Instruction

Mr. Maurice C. Varney, Director, Vocational Education

IV. Constitutional Provisions for Education Relating to Public Schools, 1955

General Provisions

Constitution of Maine, Article VIII, Literature

"A general diffusion of the advantages of education being essential to the preservation of the rights and liberties of the people; to promote this important object, the Legislature are authorized, and it shall be their duty to require, the several towns to make suitable provision, at their own expense for the support and maintenance of public schools; and it shall further be their duty to encourage and suitably endow, from time to time, as circumstance of the people may authorize, all academies, colleges and seminaries of learning within the State; provided that no donation, grant or endowment shall at any time be made by the Legislature to any literary institution now establishe or which may hereafter be established, unless, at the time of making such endowment, the Legislature of the State shall have the right to grant any further powers to alter, limit or restrain any of the powers vested in, any such literary institution, as shall be judged necessary to promote the best interests thereof."

Sec. 1. Department of Education.

The Department of Education, as heretofore established, shall exercise such powers and perform such duties as are set forth in this chapter. The Department of Education shall consist of a State Board of Education, hereinafter in sections 1 to 9 inclusive, called the "Board," a Commissioner of Education chosen by the Board and such official and clerical staff as are hereafter provided for.

Sec. 2. State Board of Education; Expenses.

The Board, as heretofore created by previous enactment, shall consist of 10 members. The Governor with the advice and consent of the Council shall appoint 5 members representing each of the following groups and organizations which shall, in accordance with their particular by-laws or policies, submit 1 name, and if necessary, successive names, to the Governor; 1 by the presidents of the liberal arts teachers' colleges of the state, the person named not to be the active president of the association; 1 by the Maine Superintendents' association, the person named not to be the active president of the association; 1 by the Maine congress of parents and teachers, the person named not to be the president of the organization; 1 by the Maine teachers' association, the person named not to be the president of the association; the other 5 members shall be appointed by the Governor, with the advice and consent of the Council. The members hall serve for a term of 5 years and until their successors shall have been duly appointed and qualified. A vacancy shall be filled for the unexpired term in accordance with the provisions of the regular appointment. The members shall take the oath of office prescribed by the state officers. Members of the Board shall be subject to removal from office by the Governor and Council for cause. Members of the Board shall serve without pay, other than their actual expenses while carrying out the functions of the Board.

Sec. 4. Commissioner of Education.

The Board shall appoint a Commissioner of Education whenever a vacancy occurs, and fix his salary, not to exceed $10,000 per year. The Commissioner shall be the executive officer and ex officio secretary of the Board. (1955 c. 473, 13-A)

Sec. 7. Recommendations to Legislature.

The Board shall recommend to the Legislature such new legislation or amendments to existing legislation as they shall deem necessary for the efficient conduct of the public schools of the State.

Sec. 9. Duties of Commissioner

The Commissioner shall perform all duties now prescribed by statute, or which may hereafter be prescribed, in accordance with the policies adopted by the board.

Sec. 130. Board of Trustees; Commissioner of Education as Ex Officio Membe

As the state is providing large appropriations for the support of the University of Maine, the state should have a more direct connection with its affairs both financial and educational, therefore, it is provided that the

Commissioner shall be ex officio a member of the board of trustees of the University of Maine, with all of the powers and privileges of members and that his membership on said board shall be coetaneous with his term of office as commissioner.

The trustees of the University of Maine shall serve without pay but shall receive their actual traveling and other expenses in the performance of their official duties.

Sec. 131. State Agency.

The University of Maine is declared to be an instrumentality and agency of the state for the purpose for which it was established and for which it has been managed and maintained under the provisions of chapter 532 of the private and special laws of 1865 and supplementary legislation relating thereto.

Sec. 142. Approval of Degree-Granting Institutions.

Any educational institution seeking authority to grant any educational, literary or academic degree shall make application to the secretary of state, in a manner prescribed by him, not later than the May 1st immediately preceding the legislative session.

Upon notification from the secretary of state, it shall be the duty of the commissioner to obtain full information regarding the merit of the institution to confer the degree. He shall use those standards which are commonly accepted in the accreditation of American educational institutions; and shall prepare for the use of the legislature a report regarding the adequacy of the institution's buildings, instructional facilities and provisions for the safety and well-being of students; the qualifications of the faculty; the character of the program of studies and of the requirements for award of diplomas; practices in the admission of students; the adequacy of financial resources; and the gover ing policies of the institution. The report, with recommendations of the state board of education shall be delivered to the secretary of state at least 10 days before the opening of the regular legislative session.

Sec. 199. Vocational Rehabilitation Policy; State Board of Education as State Agency.

It is hereby declared to be the policy of this State to privide rehabilitation services to eligible handicapped persons throughout the State to the end that they may engage in the useful and remunerative occupations to the extent of their capabilities, thereby increasing their social and economic well-being and that of their families, and the productive capacity of this State and also thereby reducing the burden of dependency on families and taxpayers.

Persuant to such policies, the State Board of Education is hereby designate and established as the sole State Agency to privide vocational rehabilitation services to all residents of the State under the provisions of Public Law 565, 83rd Congress, 2nd Session, except the blind as provided for under chapter 25.

Sec. 207-C Administration.

The General supervision of the education of all children, is the responsibility of the Commissioner of Education. He shall employ a Director and such qualified personnel as may be needed for consultant service and to develop, inspect, approve and supervise a program of special education for the handicappe or exceptional children. The Commissioner, with the approval of the State Board of Education, shall make necessary rules and regulations for the proper administration of sections 207-A to 207-I, inclusive.

Sec. 227. Supervision.

The state normal schools and teachers' colleges shall be under the direction of the state board of Education. Said board shall have charge of the general interests of said schools; shall see that the affairs thereof are conducted as required by law and by such by-laws as the board adopts, employ teachers and lecturers for the same; and shall have authority, by and with the consent of the governor and council, to dispose of and acquire property for the improvement of the plants and grounds; and biennially to render to the governor and council an accurate account of the receipts and expenditures for the biennium preceding, including same as a part of the commissioner's report. The clerical and staff services for this board shall be performed by the employees of the department under the direction of the commissioner. This board shall have full authority to change the names of any or all of the state normal schools and to designate them as teachers' colleges when such institutions offer not less than 4 years of teacher-training work. The head of a teachers' college shall be designated as a president.

The report on the State of Maine is being presented in such a way as to demonstrate the use of the Data Sheet developed for use in this study.

COOPERATIVE RESEARCH PROJECT #341

THE U. S. OFFICE OF EDUCATION AND THE AMERICAN UNIVERSITY

INSTRUMENT OF INVESTIGATION

FISCAL RELATIONSHIPS OF STATE DEPARTMENTS OF EDUCATION

STATE: MAINE

DATA SHEET

I

CONSTITUTIONAL PROVISIONS FOR EDUCATION

Note: Printed material which furnishes a portion of the information called for in this data sheet may be forwarded to The American University in lieu of (or in addition to) the completed form.

A. Is their any mention of Education in the State Constitution? YES

1. Is the provision a detailed portion of the Constitution? YES

(examples or explanation may be made a part of this data.)

SEE SECTION IV OF THIS REPORT.

B. What kinds of organizations, for the educational function, exist within the framework of the State Government:

Kind of organization	Actual title used
1. State Board of Education	YES
2. State Superintendent	COMMISSIONER OF EDUCATION
3. State Board of School Finance	NONE
4. State Board of Control (Instutations)	REPLACED THE STATE BOARD FOR VOCATIONAL EDUCATION AND NORMAL SCHOOL TRUSTEES.
5. State Board for Higher Education	NONE
6. State Board of Trustees for State University (Universities)	COMMISSIONER IS A MEMBER EX-OFFICIO WITHOUT A VOTE.

7. State Board of Trustees for the State Teacher Colleges BOARD OF TRUSTEES FOR STATE TEACHER COLLEGES (4) AND NORMAL SCHOOLS (1).

8. THE STATE FORMERLY HAD A UNION COMMITTEE OF 116 SCHOOL UNIONS. THIS IS NOW A STATE BOARD FUNCTION. A UNION WITH 75 TEACHERS OR MORE MAY HAVE A SUPERINTENDENT.

II.

THE CONSTITUTIONAL CONTROL OF EDUCATION

A. What agencies of the state have consitutional control?

DEPARTMENT OF EDUCATION, STATE BOARD

B. Which agencies of the state have legislative control:

STATE LEGISLATURE THROUGH COMMITTEES.

C. Are there instances where personnel serve as members of more than one State Board which has control over Education ______

1. If so, which Boards are affected?

NONE

2. How is membership gained to these Boards whose members hold dual membership DOES NOT APPLY

a. Appointment? ______ By whom? ______

b. Election? ______

i. General election? ______

ii. Special election? ______

iii. Other? ______

c. Patronage? ______

d. Other means? ______

3. How important is the method of gaining membership?

DOES NOT APPLY

4. How any members are there on the State Board of Education? 10

a. Is this number too large? PRESENT BOARD SEEMS TO BE FUNCTIONING

b. Is this number too small? SATISFACTORILY. NUMBER APPEARS TO BE GOOD.

5. Of what importance is the composition of the State Board of Education?

THE STATE SUPERINTENDENT IS NOT INCLUDED IN THIS NUMBER, BUT IS A MEMBER OF THE BOARD. THE TYPE OF PEOPLE APPOINTED TO THE BOARD IS VERY IMPORTANT. THE STATE COMMISSIONER MEETS WITH THE BOARD BUT IS NOT A MEMBER AND HAS NO VOTE.

D. To what extent is membership on the State Boards of Education ex-officio?

1. Are some members officials of some other State Board or Department? NO

2. ARE some members appointed from the public at large? YES, ALL ARE.

a. Is the tenure of these members subject to changes because of changes due to election? ______

b. Is each member appointed for a definite length of time? ______

E. Does the composition of the State Boards effect the function of these Boards?

1. Is power exercised in some instances because of tradition? ______

In what way? ______

2. Are there other factors involved? ______

______

III.

AUTHORITIES AND RESPONSIBILITIES OF STATE BOARDS

A. Is there evidence of duplication in delegation of authority and responsibil

IN GENERAL, NO

1. Does more than one Board participate in preparing the budget for Education? NO

2. Does more than one Board prepare an estimate of needed improvements in the method of finance for Education? NO

3. Which boards are involved in these determinations? ______

4. Other factors? ______

B. Is clarification of authority needed? To what extent?

1. Is there a need for new legislation? YES

a. In which areas?

TO REMOVE PROFESSIONAL EMPLOYEES FROM THE PRESENT UNIT SYSTEM SALARY SCALE. REGARDING PLAN FOR SALARIES OF EMPLOYEES. REGARDING FLEXIBILITY IN DISTRICTING. REGARDING CHANGES IN TEACHER PREPARATION. REGARDING SUPERVISORY UNIONS.

2. Is there a need for description of responsibilities, which may not require new legislation? ______

In which areas? ______

3. Are these responsibilities delegated to more than one body which can be clarified? ______

Can these be specifically identified? ______

4. Is there a statutory power, legally constituted, for both a State Superintendent and a State Board? YES

a. Is there an attempt to divide the responsibilities? YES

b. Does each of these two attempt to concentrate on a single major field of endeavor? YES

C. Are both offices at least partially concerned with the same major items? ______

d. Are some functions specifically delegated to one of these two? Examples? ______

Superintendent	State Board
______	______
______	______

5. If the State Board of Education appoints the State Superintendent, which of the following are applicable?

a. The Board is the policy making body? YES

b. The Board is an administrative body. NO

c. The Superintendent is the administrative officer. YES

d. The Superintendent is involved in the determination of policy. YES

e. Both offices have administrative functions. NO

f. Both offices have policy making functions. YES

6. If the State Board of Education has administrative functions, are these:

a. Delegated to the State Superintendent? YES

b. Retained by the Board as responsibilities. ____________

c. Delegated to the Superintendent and reviewed by the Board ____________

d. Retained by the Board and reviewed by the Superintendent. ____________

7. Does the Board review any judicial functions? NO

Examples: ____________

8. Does the Superintendent review any judicial functions? NO

Examples: ____________

IV.

INTERNAL OPERATIONS OF THE STATE DEPARTMENT OF EDUCATION

A. How are the duties allocated within the department?

1. Are employees of the State Department of Education:

a. Appointed? YES As a result of merit examinations? YES

b. Elected? ____________

c. Some of both? ____________

d. Neither? ____________ How? ____________

2. Are there specific departments within the State Department responsible for dertain functions? YES

3. Are the duties of these departments specified by:

a. Law NO

b. Transitional operation? YES AND ADMINISTRATIVE STRUCTURE

Examples: ____________

c. Job description for every position? ____________

d. Development of an administrative stucture for each department?

____

COMMENTS:

THERE IS A STATE FINANCIAL SUBSIDY FOR EDUCATION BUT IS IS NOT USED TO EQUALIZE EDUCATIONAL OPPORTUNITY.

THERE HAVE BEEN MOVES LOOKING FORWARD THE FORMATION OF LARGER DISTRICTS BY MEANS OF UNIONS.

THERE ARE A FEW NEGRO STUDENTS AND RACIAL INTEGRATION DOES NOT MAKE A PROBLEM.

THE COMMISSIONER DOES HAVE A RATHER FULL DEGREE OF CONTROL WITHIN THE DEPARTMENT OF EDUCATION BUT THERE IS NO PROVISION FOR SHIFTING FUNDS FROM ONE ALLOCATION OF THE BUDGET TO ANOTHER. THE STATE AUDITOR CONTROLS THE AUDIT OF DEPARTMENT FUNDS.

THE GOVERNOR HAS AN EXECUTIVE COUNCIL SELECTED BY THE STATE LEGISLATURE.

THE CHIEF SOURCE OF REVENUE FOR EDUCATION IS THE TAX ON REAL ESTATE BUT A SALES TAX IS UDED TO PROVIDE FOR THE "GENERAL FUND."

COOPERATIVE RESEARCH PROJECT #341

THE U. S. OFFICE OF EDUCATION AND THE AMERICAN UNIVERSITY

WORK SHEET

STATE: MAINE

I.

BUDGET MAKING FOR THE STATE DEPARTMENT OF EDUCATION

A. Internal operation of the State educational agency.

1. Who provides the forms for the preparation of the budget request?

STATE OF MAINE AUDITOR

2. For what period of time is the budget request made?

TWO YEARS

3. What are the sources of funds which may be made available for meeting the budget request?

a. Is any real estate tax levied at the state level? ____

i. Is a portion of this tax reserved for education? ____

ii. What portion? ____

b. What assessment policy is used for these taxes?

i. Partial value (in terms of % of the total value) ____

ii. Full market value. ____

iii. Equalized value. ____

c. Other taxes, levied at the state level, which are used at least partially for the support of education?

i. Income tax ____ iv. Public utility tax ____

ii. Sales tax ____ v. Personal property tax ____

iii. Literary fund ____ vi. ____

vii. Explanations and additional levies should be listed here:

____

____

B. Agencies involved in preparation of the budget:

1. What relation has the state auditor to the budget for the Department of Education?

2. Has the Board of Tax Commissioners a responsibility in the preparation of the budget for the Department of Education?

3. Has the Governor a responsibility in the preparation of the budget for the Department of Education?

YES - THERE IS A 3 MEMBER COMMITTEE OF THE STATE LEGISLATURE WHICH WORKS WITH THE GOVERNOR TO REVIEW BUDGET REQUESTS.

4. Do the State Universities and colleges prepare their own budget?

a. As a part of the budget for the State Department of Education?

b.- As an entirely separate budget?

C. Personnel involved in budget preparation:

Identify which personnel are involved in preparation of any portions of the budget for Education.

1. Which staff members of the State Department of Education are involved in preparation of the budget?

EACH DIVISION PREPARES A BUDGET REQUEST WHICH IS THEN COMPILED.

2. Where does the initial step in budget preparation originiate?

WITH THE VARIOUS DIVISIONS.

3. To what extent is there participation by division directors and other personnel? (personnel of the Department of Education).

EVIDENCE OF REAL COOPERATION IN THIS MATTER.

4. What is the nature of participation by the Chief school officer?

REVIEW, COMPILATION AND SUPPORT.

5. What is the nature of participation of the State Board of Education, or other boards?

6. What control over the budget request is exercised by the executive officers of the state?

   a. The Governor:

   b. The finance director:

   c. The state legislature: HAS A COMMITTEE WHICH REVIEWS ALL BUDGET REQUESTS.

   d. Others:

7. What restrictions exist with regard to expenditures after appropriations are made? Who imposes the restrictions?

II.

EXPENDITURES FROM BUDGET ITEMS

STATE DEPARTMENT LEVEL

A. For which of the following are expenditures made from the State department budget?

1. Purchasing: (For use at the local school system level).

   a. Teaching equipment X

   b. Textbooks X

   c. Maintenance supplies

   d. School bus maintenance

   e. Teaching supplies X

   f. Building equipment X

   g. School bus purchase

   h. School bus operation

Others:

   i.

   j.

   k.

   l.

2. Salary payments: (For use at the local school system level).

   a. Local superintendents X
   b. Principals, secondary X
   c. Principals, elementary X
   d. Guidance personnel ________
   e. Agriculture teachers X
   f. Shop teachers X
   g. Art teachers ________
   h. Music teachers ________
   i. Education for the gifted ________
   j. Junior College staff ________
   k. Subject supervisors ________
   l. Vocational supervisors X
   m. Home economics teachers ________
   n. Special education X
   o. Handicapped programs X
   p. D. U. courses ________

Others:

   q. ________
   r. ________
   s. ________
   t. ________

3. Salary payments (From the state budget for the state department).

   a. State Superintendents ________
   b. Guidance ________
   c. Agriculture ________
   d. Home economics ________
   e. Shop ________
   f. Art ________
   g. Music ________
   h. Education of the gifted ________
   i. Vocational supervisor ________
   j. Special education ________
   k. Handicapped program ________
   l. Adult education ________
   m. Veteran education ________

   Others:

   n. ________
   o. ________

4. Travel payments

   a. May State monies be used for travel without the state boundaries? YES - UP TO 700 MILES.

   b. May State monies be used for travel to local districts?

   ____

   c. For which of the following are travel payments made from the State budget?

      1) Local system supervisors ________
      2) Local system administrators ________

3) County administrators ______________________

4) Special subject supervisors, local ______________

5) Special subject supervisors, state _____X_____

6) Other state supervisors ____________X____

7) State administrators ______________X____

8) County supervisors ________________________

Others:

9) ____

10) ____

d. For which of the following may travel payments be made from the State budget?

1) Non-teaching staff, not in the above, local systems ______

2) Non-teaching staff, not in the above, state ___X_______

Others:

3) ____

5. Provisions for office space.

a. Does the State department have space within public buildings?

YES, IN A NEW STATE OFFICE BUILDING.

b. Is the State Department housed in a separate building where there are no other state agencies? ______________

c. Is equivalent rental (for space used) a part of the state department budget? ______________________

d. If branch offices are necessary is space provided:

1) In public buildings? ______________________

2) In privately owned space which is rented? __________

6. The State Department and in-service training.

Which of the following items receive funds from the state budget for the purpose of conducting conferences and other in-service training programs?

a. State supervisors, subject matter areas ___X_________

b. State supervisors of vocational education X

c. Local system supervisors

d. Any federally connected projects

Others:

e.

f.

III.

ALLOCATION OF MONIES FROM THE STATE BUDGET TO LOCAL SCHOOL DISTRICTS

A. Which of the following are applicable?

1. Is there a State salary schedule for classroom teachers? YES

2. Do local school districts receive any money from the State budget which is used for salary payments to classroom teachers? YES

   NEW SINCLAIR BILL.

3. Is there a minimum salary which must be paid to classroom teachers in order for the local district to receive State aid? YES

4. Do local school districts receive any money from the State budget which is used for salary payments for administrative officers?

5. Is there a minimum standard for libraries? YES

   Do local districts have to meet this standard in order to receive any state funds for libfary support?

B. Other factors related to budget items.

1. Who audits local school district funds?

   STATE DEPARTMENT OF EDUCATION.

2. If the State Department is involved in the audit of local funds, do representatives of the State Department:

   a. Actually visit the local schools?

   b. Rely upon written reports from the local districts? X

   Is there a standard form furnished by the State Department for making these reports? YES

3. Who is responsible for safety and sanitation of school buildings?

____

   a. Is the responsibility divided between the Department of Health and the Department of Education? ________________

4. Are there other State agencies concerned with expenditures of State monies for education at the local level? ________________

____

IV.

ALLOCATION OF MONIES FROM THE STATE BUDGET FOR THE STATE UNIVERSITIES AND COLLEGES

A. Which of the following describes the mothod of finance for the State Universities and Colleges?

   1. Allocation funds on per-pupil basis? ________________
   2. Allocation of funds as a part of the total State Budget, prepared in cooperation with other State agencies? ________________
   3. As a separate budget for all higher education? ________________
   4. As a part of an appropriation for education and other agencies? ____
   5. As a separate budget for each University and College? ______
   6. State Department of Education has no relation to higher education and no responsibility for this budget? ________________
   7. Others:

____

____

V.

KIND OF BOOKKEEPING SYSTEM IN USE

A. Is a uniform account system used? ________________

B. Is there an established formula for the collection of funds? ____

   1. Who determines the formula? ________________
   2. Who controls the operation of the formula? ________________
   3. Who defines the terms in each of these formulas? ____________

____

C. Who is responsible for the audit of funds:

1. The State auditor? ______________________

2. An outside firm hired for this purpose? ______________________

3. Auditors of the State Department of Education? ______________________

4. Who audits the funds of local school districts? ______________________

____

VI.

INTER - STATE CONDITIONS AFFECTING OPERATION OF THE STATE DEPARTMENT

A. What provisions govern the attendance of the out-of-state pupils in state owned and controlled institutions?

1. At the Local level. Is there a state-wide formula for tuition which is to be charged by the local system? ______________________

____

2. At the State level. Is there a state wide formula for tuition to be charged by the state institutions? ______________________

____

3. Other factors: ______________________

____

VII.

THE EFFECT OF TRADITION ON STATE SCHOOL FINANCE

A. What is the effect of tradition on state school finance, which is exerted through other state agencies?

1. The office of the Governor? ______________________

____

2. The legislative committees? ______________________

____

3. The state library system? ______________________

4. The State archives? ______________________

5. The motor vehicle department? ______________________

6. The state roads commission?______________________

7. The political parties? ______________________

Others:

8. ______________________

9. ______________________

10. ______________________

B. What is the effect of tradition on state school finance, which is exerted through interest groups?

1. The AAA? ______________________

2. The Chamber of Commerce? ______________________

3. The Labor Unions? ______________________

4. The PTA? ______________________

5. The WCTU? ______________________

6. The American Legion? ______________________

7. Other veteran organizations? ______________________

8. DAR, SAR, CAR? ______________________

9. The Grange? ______________________

10. The Farm Bureau? ______________________

11. The organized profession of education? ______________________

12. The religious forces? ______________________

13. Various parochial schools? ______________________

14. Any subversive organizations? ______________________

15. Others: ______________________

____

____

____

____

C. What is the effect of tradition on state school finance, which is exerted from within the state department of Education?

1. From the attempt to achieve a balanced program? __________

____

2. From vocational rehabilitation? __________

____

3. From special education (gifted or retarded children) __________

____

4. From vocational education? __________

____

5. From veteran education? __________

____

6. From Federal aid (Matching fund programs?)__________

____

7. Do special purposes (interests) tend to decrease education of a "normal" type? __________

____

D. What is the effect of Ederal legislation on state school finance?

1. Is there an unbalanced condition due to the effect of the matching fund programs? __________

If so, in which areas? __________

2. National policy results in federal funds being ear-marked for special projects or programs. Should this be continued? __________

Should these funds be allocated to the state, with the decision concerning use left to the state? __________

VIII.

THE STATE DEPARTMENT AND HIGHER EDUCATION

A. Is there a fiscal relationship between the state department of Education and any privately controlled institutions of higher education? __________

What kind of private control? __________

B. Is there a fiscal relationship between the state department of education and the state colleges and universities? ____________

In what way? ____________

C. Is the relationship between the state department of education and the state institutions of higher education the same for all institutions?

____

1. Are there differences because of the kind of institution involved?

____

2. Which institutions are involved in these differences? ____________

____

IX.

PERSONNEL PRACTICES

A. Practices related to fringe benefits:

1. Are all department employees under the civil service program? YES

If not, what conditions of employment exist? ____________

____

2. Is there a provision for Veterans Preference? YES

a. Five point preference? ____________

b. Ten point preference? ____________

3. Is the first appointment provisional? YES

a. For what length of time? ____________

b. May a provisional appointment be renewed? YES

c. Does the provisional appointment lead to permanent appointment? YES, WITH SATISFACTORY SERVICE.

4. Is there a classification of position for:

a. Salary purposes, including increments: YES

b. Duties and responsibilities of each position? YES

c. Other? ____________

5. Who has control over titles used in the department? STATE MERIT SYSTEM

6.- Who is responsible for the creation of new positions? ______

______

7. What fringe benefits are provided?

   a. Retirement? X

   b. Sick leave? X

   c. TIAA? ______

   d. Social Security? X

   e. Paid vacations? X

   f. Insurance X

B. Practices related to other state departments:

1. What is the effect upon Education as a profession, when employees of other state departments work under different conditions?

______

2. Do any specific differences effect the recruitment and retention of personnel? ______

3. Are some personnel practices written into the law but not enforced or carried into practice? ______

______

C. General considerations.

1. To what extent is there cooperation between the state department of education and the state education association?

   a. In preparation of the budget? SOME

   b. In working for the adoption of budgets? GOOD RELATIONSHIPS

   c. In presenting the educational picture to the public? CLOSE COOPERATION.

2. To what extent is there cooperation between the state department of education and:

   a. State School Board Association? ______

   b. Any national educational organizations? ______

3. Other agencies which need to be considered:

______

______

X.

SUMMARY OF FUNCTIONS: THE STATE DEPARTMENT OF EDUCATION.

A. What is the nature of the state department of education?

1. A leader in educational developments? TO SOME EXTENT, PARTICULARLY WITH REFERENCE TO SCHOOL DISTRICT REORGANIZATION.
2. An agency that responds to indications from the public?
3. An agency that interprets state policy?
4. An agency for state-wide control of public funds for education? TO SOME EXTENT, BECAUSE OF TRADITION WITHIN THE STATE.

Others:

FOREWARD LOOKING BUT SOMEWHAT BOUND BY TRADITION.

B. What are the goals for the state department of Education?

1. For the development of the junior college movement?
    - a. As terminal education?
    - b. As pre-professional education?
    - c. Other:
    - d. Have these goals been cooperatively developed with the State Education Association and State School Board Association, or other organizations?
2. Developments for life adjustment education for all pupils?

3. Retention of all pupils through the 12th year of school?

   SOME EMPHASIS HERE.

4. Development of higher education for teacher certification?

   DEPARTMENT IS WORKING ON THIS AREA.

5. Development of higher standards for instruction?

6. Development of higher standards for administration and supervision?

7. Total reconstruction of the school program?

8. A program which is in better balance with needs, interests, and abilities?

9. What is the policy of the state department of education with respect to the consolidation of the small school districts?

   THE DEPARTMENT IS WORKING DEFINITELY TOWARD THE ELIMINATION OF SMALL SCHOOL DISTRICTS.

Others: ______

C.* What is the policy of the state department of education with respect to adequate finance for public education?

1. Has there been an investigation of ability to pay? ______

2. Is the state making progress in this area? ______

3. How effective has the state department of education been in developing interest in proper financing for public education?